Electronic Filing System

ePAVE
Submission Manual

Version 4.1

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United States Patent and Trademark Office

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BEFORE YOU BEGIN

Welcome

Thank you for using ePAVE 4.1 to file your patent application electronically. This section provides information about system requirements and limitations and other information that you should familiarize yourself with prior to installing and using the EFS or ePAVE.

System Requirements and Restrictions

You must meet the following system requirements to install and use the various applications associated with EFS. (to be updated with new requirements)

Table 1: System Requirements

Component	Minimum	Recommended
Pentium Processor	233 MHz	266 MHz or higher
Memory	64 MB RAM, 2.6MB available free space plus 6MB temporary space for installation	128 MB RAM
Screen Display	800 x 600	1024 x 768 or higher
Browser	Internet Explorer 5.0	Internet Explorer 5.5
Plug-in	TIFF Viewer Plug-In	AlternaTIFF Plug-In v1.3.5 or higher
Free Hard Disk Space	42 Megabytes	
Internet Connection	56 Kbps or faster modem	
Operating System	Windows 95 (Service Release 2 or higher)/98/2000/NT 4.0 (Service Pack 3 or later)	
Applications	Microsoft Word 97/2000® including Office Assistant, WordPerfect 9 (Service Pack 2 or higher) for the WordPerfect Template for Specification Authoring (TSA) Graphics Package (for TIFF image formatting) Up-to-date Printer Driver (s) MDAC 2.1	
Scanner	Capable of producing black and white TIFF images at 300 dpi; CCITT Group 4 compression	

These requirements for tiff images will allow you to submit images that will satisfy all the quality requirements under 37 CFR 1.84. The USPTO will use the following margins on an 8 1/2" x 11" paper when printing EFS submitted patent application documents: top 1 inch; left 1 inch; right ¾ inch; bottom ¾ inch. These margins satisfy 37 CFR 1.84 (g).

Technical Restrictions

The following limitations apply to the actual file that you submit to the USPTO:

- EFS maximum file size is 10MB for electronic transmission, 1 CD for mailed submission.
- New utility assignment maximum number of coversheets is 5.
- Provisional application assignment maximum number of coversheets is 5.
- Subsequent filing assignment maximum number of coversheets is 15.

Each assignment coversheet must have a minimum of 1 tiff per coversheet, but there is no limit on the number of tiffs that can be referenced except for the ePAVE 10MB file size restriction.

Key Steps in the Electronic Filing Process

The following procedure outlines the steps that you must complete to prepare take to file your patent application electronically.

Step 1: Security Preparation

Before you can file electronically, you must obtain your Customer Number and PKI Digital Certificate. These items are used to confirm your identity and to ensure the security of your electronic transmission. For more information about obtaining your PKI Digital Certificate, see Obtaining and Using Your Digital Certificate.

Step 2: Preparing Your Files

Preparing Images

Before you can attach images to your electronic submission, they must meet the specifications established by the USPTO for electronic filing. Scan or convert all images using the following settings: 300x300 dpi, black and white only, Group 4 Compression, maximum size 8 ½ x 11 inches for drawings and forms. These specifications apply to the following items:

- Inline graphics (including complex chemical structures, math equations, tables, and custom characters)
- Drawings (figures)
- Declaration forms
- Assignment documents
- Small entity statements

Naming your Files

Filenames are limited to 25 characters and must be alphanumeric—made up of numbers and letters. You can also use the hyphen and period characters in your file names. USPTO recommends that you use the 8.3 file naming convention when you name folders and files that will be used with ePAVE. This convention specifies up to eight characters for the name of the file and three characters for the file extension, with the two components separated by a period—for example, **newfile1.doc**.

- **Do not** include other special characters in your file names. These characters include the following: & _ , # " (hyphen and period are acceptable)
- **Do not** use a space in your file names.
- When you name your ePAVE submission folder, the folder name must differ from the names of any files or figures that are included in your submission.

It is important that you DO NOT use special characters or spaces in your file names, as this will cause errors when you attempt to submit to USPTO. Do not use any characters other than letters, numbers, hyphen(-) and period(.).

Working With Source Documents

If you are authoring from a source document, convert the document text to Arial, CG Times, or Times New Roman.

Create a working or source document folder on a local or shared drive to store all files relating to the submission, making sure you follow the file naming conventions specified in this document. Copy all specification-related files into this folder:

- All images
- Source document(s)
- The specification that you authored using PASAT (*.s4w & *.s4t).

Once you have begun authoring your specification, DO NOT move any files from this folder. Images inserted into a PASAT document are NOT embedded in the document. There is a hyperlink created to the file path of the image. If the image is moved from the folder once it has been inserted into the PASAT document, the hyperlink will not be able to locate the image.

Step 3: Using PASAT to Author Specification

Use the PASAT application to author your specification. Please refer to the PASAT user manual included on the EFS CD for more information.

1. Author your specification document using PASAT.
2. Save specification.
3. Validate specification.
4. Edit specification to correct any validation errors.
5. Save specification.
6. View/Export specification.
7. Edit and/or save Specification.

Step 4: Using ePAVE

Use the ePAVE application to create the submission package, validate it, and send it to the USPTO. This manual provides detailed information about this process.

1. Create your submission.

2. View/Print your submission.

3. Validate your submission.

4. Submit to USPTO.

Obtaining and Using Your Digital Certificate

The Patent Act 35 USC in section 122 requires the USPTO to maintain patent application information in confidence. The USPTO distributes software that supports secure communication between USPTO and applicants or practitioners. USPTO is implementing several electronic commerce projects that involve secure communications including electronic filing by authorized patent application filers and electronic access to USPTO search databases (e.g. Patent Application Information Retrieval (PAIR)) by authorized USPTO customers.

ePAVE software requires that you use a digital certificate, which you can obtain from the USPTO. For information about obtaining a digital certificate, email the Patent Electronic Business Center at ebc@USPTO.gov.

Once you have registered for a digital certificate and have been approved, the USPTO provides you with a USPTO-specific version of Entrust Direct. This security software operates in conjunction with a USPTO implemented closed public key infrastructure that enables secure communication between each individual applicant or practitioner and the USPTO.

If You Need Assistance

The USPTO has provided several methods for you to obtain assistance if you find you have questions about filing electronically or about the ePAVE software.

- **Check the User Guide**
  This manual provides all of the information you need to use the ePAVE software. Please check the table of contents to locate the information that you need. This manual also includes information about common errors and frequently asked questions.

- **Check the Online Help**
  Click Help in the ePAVE application to review information about the version of ePAVE that you are using.

- **Check the EFS web site**
  The EFS web site provides links to additional EFS support resources. The EFS web site is accessible at www.USPTO.gov/ebc/efs/index.html.

- **Contact the EBC Customer Service Center**

  703-305-3028

- **Contact the USPTO Patent Assistance Center (PAC)**
  1-800-PTO-9199
  efs@uspto.gov

INTRODUCTION

The USPTO initiated the Electronic Filing System (EFS) development to provide a means for patent applicants or their representatives to submit patent applications and related documents to the USPTO using the Internet. The use of the Electronic Filing System supports the USPTO Strategic Goal to integrate Patent Business Practices with information technology to bring about effective use of electronic government as part of conducting patent business.

Audience

To electronically file a submission with the USPTO via the Internet, you must be identified as one of the following authorized patent application filers:

- Applicant
- Assignee
- Attorney or Agent
- Assignee undivided part as set forth in 37 CFR 1.33(b).

If you want to use EFS software to submit pre-grant publication filings, please refer to pre-grant publication regulations 37 CFR, Sections 1.211-1.221, for a full description of the process.

If you want to file biotechnology sequence listings, you must have a pending paper utility patent application that requires a nucleotide and/or amino acid sequence submission in Computer Readable Form (CRF) (37 CFR 1.824). You must have already created the sequence listing using either the USPTO PatentIn sequence authoring application or another acceptable sequence authoring tool.

About EFS and ePAVE

EFS is designed around a common submission engine that presents electronic forms to the applicant to collect patent application information. The submission engine is a desktop software program called EFS electronic Packaging and Validation Engine (ePAVE). In addition to providing electronic forms ePAVE allows the applicant or practitioner to attach a tagged, structured specification document that includes links to applicable figure image files. Other patent application documents, such as the declaration, are attached as scanned single-page tiff image files.

EFS electronic Packaging and Validation Engine (ePAVE) desktop software enables patent applicants and appointed practitioners to conduct real time electronic filing of select new utility patent applications. EFS also enables the filing over of the Internet of four types of subsequent filings: selected pre-grant publication submissions; information disclosure statements for pending applications, assignment documents for previously filed applications and patents, and submission of Computer Readable Form (CRF) amino acid and/or nucleotide sequence listing required during prosecution of a pending biotechnology patent application.

The applicant first authors the specification document using a word processing based authoring tool which has the capability to produce an Extensible Mark-up Language (XML) tagged electronic document. Then the applicant uses ePAVE submission software to attach and send the application specification with any figures to USPTO along with other patent application information.

The submission software accepts ASCII Sequence Listing files created by a sequence listing authoring tool, PatentIn (as well as accommodating ASCII Sequence listing files created by other standard methods or editors). Refer to 37 CFR 1.824. The "Sequence Listing" shall be submitted in American Standard Code for Information Interchange (ASCII) text. No other formats are allowed.

Using USPTO developed ePAVE submission software applicants may: author XML documents such as fee transmittal or application data sheet; attach electronic documents and image files in specified formats; and validate the completeness of the submission based on patent business rules. The ePAVE program automatically bundles, compresses, encrypts and digitally signs the submission package once the applicant or appointed practitioner enters an electronic signature and digital certificate authentication information. An Acknowledgement Receipt is displayed in real time at the filer's desktop after the submission package is received and validated at the USPTO without error.

About this Manual

This user manual provides detailed instructions for using the ePAVE submission program, and also provides guidance including the system requirements, business context of use, and support available for the product. ePAVE is the software application that you use to bundle and transmit your documents to the USPTO.

Conventions

The following table lists the conventions used in this manual to represent common terms, emphasize items, and help you identify certain text.

Convention	Description
Bold	Bolded text is used to identify names of screens, fields, buttons, or other items that are a part of the ePAVE user interface. **Example:** The following figure shows the **General** tab:
Italic	Italicized text is used to indicate emphasis. **Example:** All Specifications *must* be successfully validated before they are submitted.
Bold Italic	Bolded, italicized text indicates that an item is found in the glossary list (See Appendix A). The first instance of a term in a section appears in bold italic. Subsequent instances appear as normal text, or as bold text if they are names of screens, fields, buttons, etc. **Example:** WordPerfect validates your Specification document against a ***DTD***.
<angle brackets>	Angle brackets indicate that the text is the name of an element or tag. **Example:** Select the <paragraph> element.
Underlined, bold	Text that is underlined, bolded, and light blue in color indicates that the item is a hyperlink

blue	that allows you to jump to another section of the manual when you click on the text. This feature is only available in the Adobe Acrobat version of the manual. **Example:** For more information about the fields on the Forms tab, see ***Fields on the Forms Tab***.
NOTE:	A Note calls your attention to additional information.
i	***This symbol and text indicates additional information that may be helpful to you.***
!	**This symbol and text is used to stress a warning or reminder.**

INSTALLING AND LAUNCHING EPAVE

If you are installing ePAVE from a CD-ROM, the installation program will automatically launch if you have the Autorun feature enabled. If the installation program does not automatically launch or if you are installing a downloaded version of ePAVE, locate the ePAVE installation file (setup.exe) where you saved it on your computer (if you downloaded it from the web), or on the CD-ROM (if you are installing it from a CD).

Installing ePAVE

Use the following procedure to install the ePAVE application:

1. Go to the **Start** menu and select **Run**.

2. Use the **Browse** button to locate the folder where you saved the ePAVE setup program, setup.exe, (if you downloaded if from the web), or the drive and folder where it is located on the CD-ROM (if you are installing it from a CD). You may also type the full path and file name instead of using the **Browse** button.

3. Double click on the file name (setup.exe) or highlight the file and click **Open**.

4. The ePAVE installshield launches.

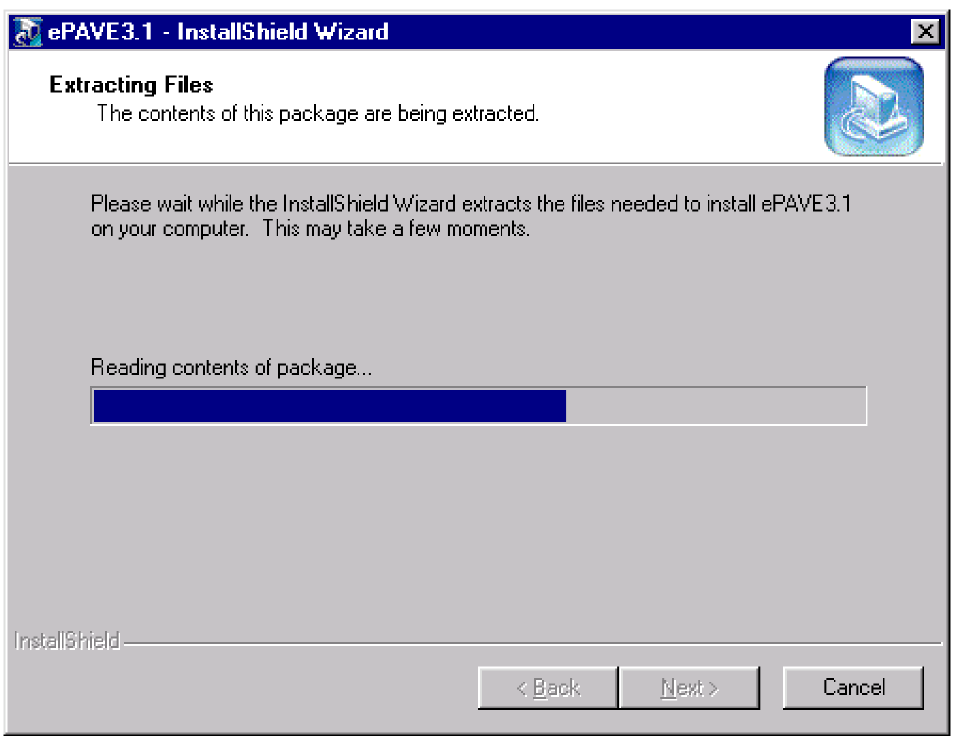


Figure 1: ePAVE InstallShield Wizard

5. To install the default configuration (recommended), click the **Next** button for all of the choices after choosing **Yes** on the license agreement.

Installing ePAVE on Networked Computers

If you are on a networked computer, you may need local administrator privileges to install ePAVE. If administrator privileges are required, ePAVE will prompt you with the following screen.

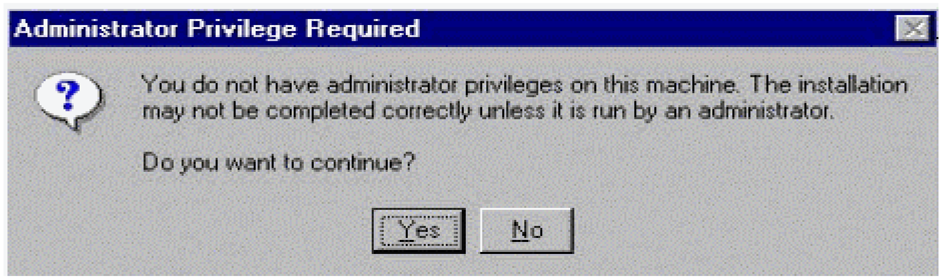


Figure 2: Administrative Privilege Required

If you encounter this message, contact your local network administrator to assist you in installing ePAVE.

Installing New Versions of ePAVE

If you have an earlier version of ePAVE on your workstation and you attempt the installation process, ePAVE displays an additional screen during the installation process.

If you encounter this screen, choose **Modify** and click the **Next** button. This option allows you to decide which of the new ePAVE components you want to install. If you want to install all ePAVE components, leave all of the default settings in place.

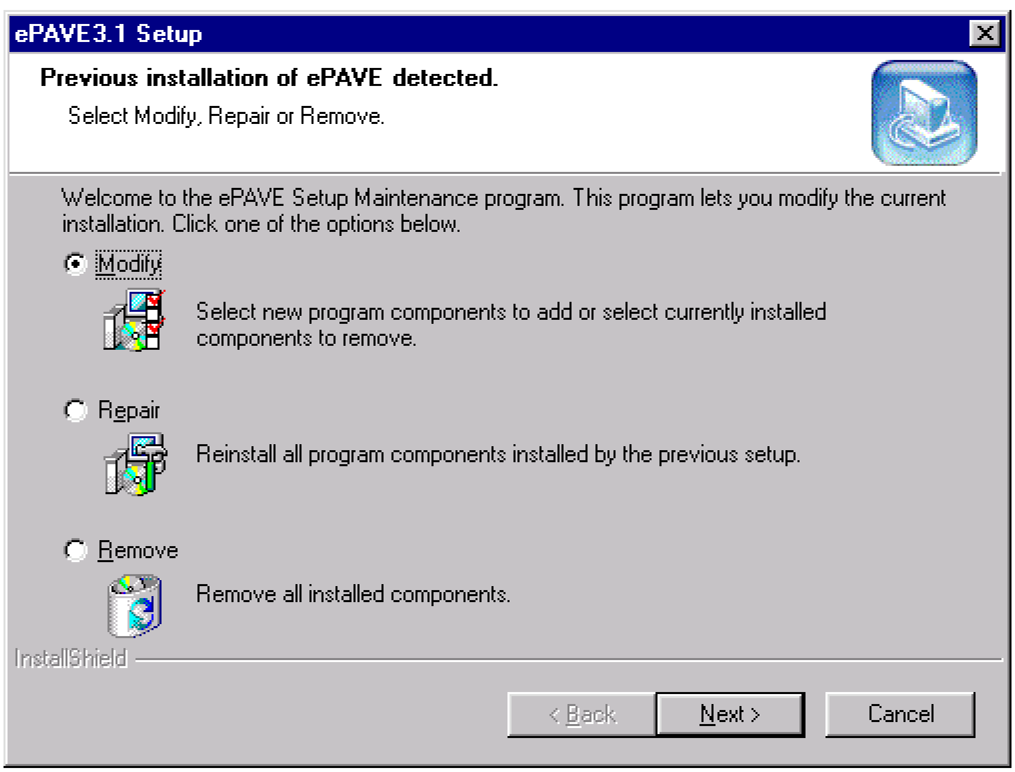


Figure 3: Previous Installation of ePAVE Detected

Uninstalling ePAVE

Use the following procedure to uninstall the ePAVE application:

1. Go to the **Start** menu and select **Settings**.
   The **Settings** submenu drops down.

2. Select **Control Panel**.
   The **Control Panel** window opens.

3. Double-click the **Add/Remove Programs** icon.
   A list of programs appears in the lower half of the **Add/Remove Programs** window.

4. Select **ePAVE** from the list.

5. Click the **Add/Remove** button.

When you uninstall an application you may receive a warning about removing shared files: "Remove Shared Files?" or "Are you sure you want to remove the shared file?" If you see this warning, select either No or No to All to ensure that your computer and other applications continue to function properly.

If you remove files during uninstallation that are shared by other programs your system may not function properly. Leaving shared files on your computer will not harm your system.

Using EFS Software on Multiple Computers

The installation of EFS software components, ePAVE submission software, and authoring software—PASAT or Word Perfect XML Authoring Template—is subject to terms noted in individual licenses. See ***Appendix C*** for more information about license agreements.

In order for EFS submission software (ePAVE) to upload an electronic submission properly you must also transfer your digital certificate file. The digital certificate is created using the USPTO Direct Security software after receiving reference information from the USPTO. There is no need to reinstall this software on multiple machines. Once you have created a profile, you simply need to transfer the digital certificate file to the computer that you plan to use to submit your files.

Using EFS Software on a Network

EFS software components are client applications, and EFS submission software (ePAVE) can be used with network Internet connections and with networked machines. In order to install ePAVE or some of its components, you may be required to have local administrator privileges. If you are unsure if you have these privileges, contact your Information Technology staff. The ePAVE installation program will prompt you during the installation process if local administrator privileges are required for installation.

The most important consideration in effective use of EFS in a network environment is file management. The application files created with the authoring tool (PASAT or TSA) or with ePAVE must reside in network storage that is mapped to all machines working with the application. All EFS files, (both PASAT and ePAVE) for a given application should be in a dedicated folder. This allows common access to the files from any PC on the network and allows EFS to locate and attach/bundle all the files constituting the application when assembling the submission. Since EFS software associates an application's files with each other based on their pathname, once the files have been stored their location should not be changed.

Launching the ePAVE Software

Once you have installed ePAVE, you can launch the application by double-clicking the **ePAVE** icon on the desktop or by selecting **ePAVE** from the **Start** menu. The following window is displayed as the ePAVE application is starting up.

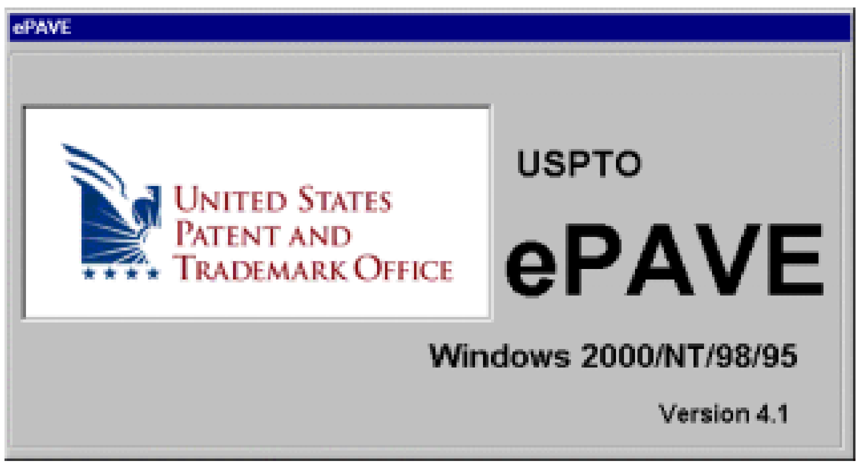


Figure 4: Opening Screen of ePAVE

Common Errors While Launching ePAVE

You may receive an error message concerning the calendar functions that are a part of the software. If you receive either of the error messages shown below, or any similar error, your SSCALA32.OCX file is in the wrong location in your directory.

Figure 5: Errors that you may see when launching ePAVE

To solve this problem, you must correct the location of the file and then uninstall and reinstall ePAVE. Use the following procedure to compete this task:

1. Locate your **System** folder.
If you do not know the location of your **System** folder, go to the **Start** menu and select **Find**, and then select **Files**

or Folders.

- **If you are using Windows 95 or 98:** Type **System** in the **Named** field and then verify that sure that the **C:** drive is selected in the **Look In** box
- **If you are using Windows 2000 or NT:** Type **System32** in the **Named** field and then verify that the **C:** drive is selected in the **Look In** box.

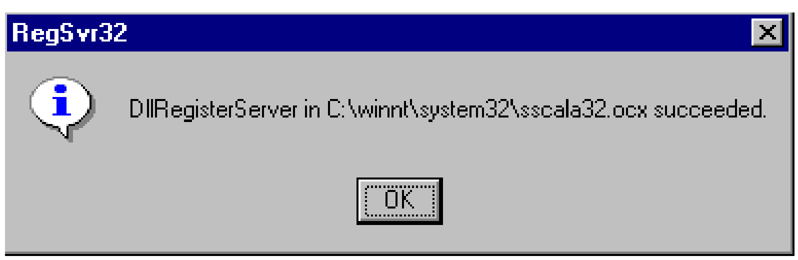
Leave the **Find** window open once you have located the **System** or **System32** folder.

2. Go to the **Start** menu and select **Run**. The **Run** dialog box appears.

3. Type the following text in the field on the **Run** dialog box. You must enter the exact text, substituting the location of your System or System32 folder and specifying system or system32 in the designated place.
regsvr32 (location of System or System32 folder)\(system or system32)\sscala32.ocx

- **Windows 95/98 example: regsvr32 C:\windows\system\sscala32.ocx**
- **Windows 2000 or NT example: regsvr32 C:\winnt\system32\sscala32.ocx**

4. Click **OK**.
The following message appears, indicating that the file location was successfully adjusted.



5. Uninstall ePAVE, then reboot your computer.

6. Reinstall ePAVE, then reboot your computer again.

7. Launch the ePAVE application.

Updating EFS Submission Program (ePAVE)

The USPTO will periodically release new versions of the ePAVE software, and you will then need to update your ePAVE software. In order to ensure that you are running the most current version of ePAVE, the application automatically gives you with the option to check your version each time you launch ePAVE. Click Yes to check with the USPTO server for the most recent version of ePAVE.

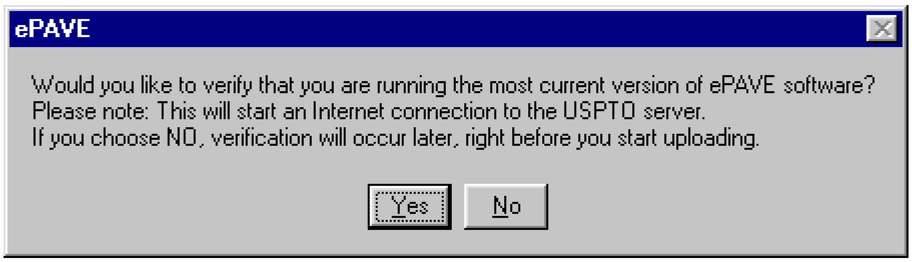
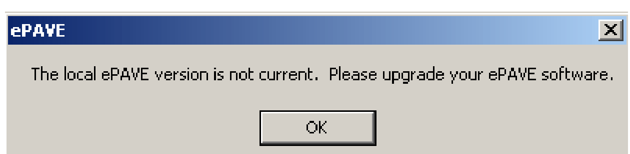


Figure 6: Verify Running Current Version

1. Click **Yes** to automatically launch your default Internet connection and connect to the USPTO server. If the installed version on your machine is not the most recent, you will be notified if a new version is available for download from the USPTO EFS Website.

   Click **No** to launch ePAVE software without checking for the most recent version. Clicking **No** allows you to begin creating a new submission. After beginning the upload process, the ePAVE software will automatically check the version on your machine, and notify you if a more recent version exists and is available for download from the USPTO EFS Website.

2. If you receive the following error message after clicking **Yes**, your version of ePAVE is not the most current. Click OK.



3. Go to the EFS website at www.uspto.gov to download the latest ePAVE software. You may also obtain updated versions of the five EFS User Manuals from this site.

Disable or Re-enable Version Checking at Startup

If you want to disable ePAVE's automatic version checking on startup, you may deselect it from the **File** menu. Click the **Version Checking Reminder at Startup** to toggle it on and off. The check mark indicates that version checking at startup is active, and is not shown once you disable this feature.

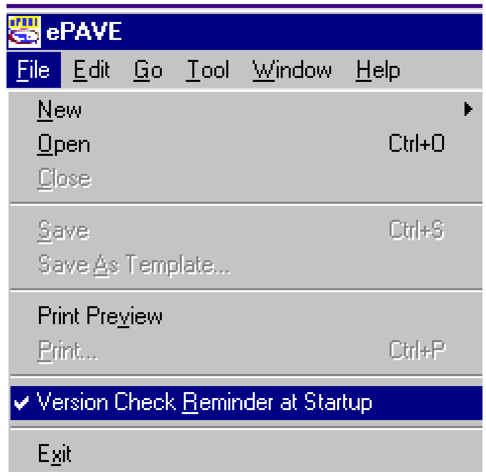


Figure 7: Disable or Re-enable Version Checking

NOTE: You can not disable the version check at upload feature. When ePAVE performs this check, it will only inform you that a new version exists and will allow you to continue the submission process.

THE EPAVE USER INTERFACE

The ePAVE interface includes the following components—**menus**, **a toolbar**, and **screens**. The menus allow you to perform various functions, including opening and closing documents, saving and printing documents, validating your submission, and sending it to the USPTO. The toolbar provides buttons that allow you to perform various ePAVE tasks without using the menus. The screens contain the data fields where you enter your submission information that is sent to the USPTO.

Menus

The ePAVE interface has six main menus, each with various submenus. The following table explains the submenus available in each menu.

Table 2: ePAVE Menus and Submenus

Menu	Submenus
File	**New** CRF Bio Sequence Listing New Utility Patent Application Pre-Grant Publication Patent Assignment Provisional Application Information Disclosure Statement **Open** [Ctrl+O] **Close** **Save** [Ctrl+S] **Save As Template** **Print Preview** **Print** [Ctrl+P] **Version Check Reminder at Startup** **Exit**
Edit	**Cut** [Ctrl+X] **Copy** [Ctrl+C] **Paste** [Ctrl+V]
Go	**Validate** Submission **Send** to USPTO
Tool	**Default User Directory**

Window	**Show Forms**
Help	**User's Guide** **About ePAVE…**

Toolbar

The **toolbar** contains the icons that you use to perform various ePAVE tasks.

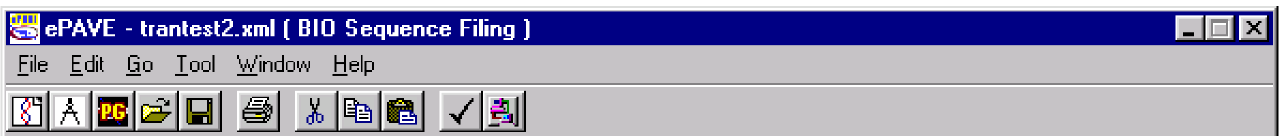
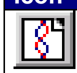
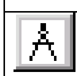
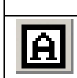
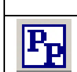


Figure 8: ePAVE Screen Menu Toolbar

The following table provides a list of the toolbar icons and their names, and also provides a description of the function of each icon.

Icon	Name	Function
	**Biosequence Listing Icon**	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens. Select **Yes** or **No**. ePAVE then prompts you to create a new submission folder and begin the process of creating a new CRF biosequence listing submission.
	**New Utility Patent Application Icon**	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens. Select **Yes** or **No**. ePAVE then prompts you to create a new submission folder and begin the process of creating a new utility patent application submission.
	**Pre-Grant Publication Icon**	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens. Select **Yes** or **No**. ePAVE then prompts you to create a new submission folder and begin the process of creating a new pre-grant publication submission.
	**Patent Assignment Icon**	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens. Select **Yes** or **No**. ePAVE then prompts you to create a new submission folder and begin the process of creating a new paten assignment submission.
	**Provisional Application Icon**	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens. Select **Yes** or **No**. ePAVE then prompts you to create a new submission folder and begin the process of creating a new provisional patent application submission.
	Information Disclosure Statement	When you click this icon, ePAVE prompts you to save any information you have already entered on the ePAVE screens.

		Select Yes or No. ePAVE then prompts you to create a new submission folder and begin the process of creating a new information disclosure statement for a pending application.
	Open Icon	Click this icon to open an existing EFS submission file that you previously saved. Locate the existing submission folder in the directory path.
	Save Icon	Click this icon to save the EFS submission information you have authored so far.
	Print Icon	Click this icon to print the information on the active screen.
	Cut Icon	Click this icon to remove text from the selected text field.
	Copy Icon	Click this icon to copy the selected text..
	Paste Icon	Click this icon to paste text to the selected text field.
	Validate Syntax and Business Rule Icon	Click this icon to initiate the validation check of all text fields. This identifies errors in data entry or missing information that is required for EFS submission.
	Send to USPTO Icon	Click this icon to go to the Submit tab to initiate sending your submission to USPTO.

Screens

Each of the ePAVE screens is represented by a tab below the toolbar. You can access the different screens by clicking on the tab that corresponds to the screen that you want to access. Once you access a screen, you can move through the data fields by using the **TAB** key on your keyboard or by clicking in each field with the mouse. You can also move backwards through the fields by simultaneously pressing the **SHIFT** and **TAB** keys on your keyboard.

The specific screens that you use is dependent upon the type of submission you are filing.

The ePAVE data entry screens must collect a minimum amount of information to ensure that your electronic patent application filing is complete and valid for examination and subsequent publication. All mandatory fields or sections in ePAVE are identified by bold type, while optional fields or sections are shown in regular type.

Figure 9: An Example of ePAVE's Primary Set of Tabs

The primary set of screens are **General**, **Filer**, **Forms**, **Attachments**, **Validation**, **Comments** and **Submit**. These screens are required, and you must complete them no matter what type of submission you are filing. The information you enter in the fields on each screen is automatically tagged as XML (extensible markup language) output. The screens and fields are described in detail in the following sections: Creating a CRF Biosequence Listing Submission, Creating a Provisional Patent Application Submission, Creating an Information Disclosure Statement Submission, Creating New Utility Patent Application Submission, Creating a Pre-Grant Publication Submission, or Creating a Subsequent Patent Assignment Submission.

The **Certificate of Transmittal** screen appears as a primary screen only when you select either a CRF Biosequence Listing or Pre-Grant Publication submission, since patent business rules do not allow the use of a Certificate of Transmittal for a new utility or provisional patent application submission.

From the **Form** tab screen you will select the form or forms that you want to include in this electronic patent application submission. Based on your selection, ePAVE adds any additional screens that are required for your submission.

Saving Your Submission

You can save your ePAVE submission document at any time. Saving preserves your patent application data so that you can change or print it at a later date. Use one of the following procedure to save your electronic file:

1. Click the **Save** icon on the toolbar.
   This immediately saves your work.

OR

1. Go to the **File** menu and select **Save**.

When you close form screens, a dialog box prompts you to save changes to the submission folder as an XML document with a message similar to the following:

Save changes to C:\Program Files\USPTO\EPAVE\name of submission folder\submission folder name with form extension and XML extension?

When you click **YES**, a second dialog box will appear confirming that your information is successfully saved in the submission folder. Click **OK** in this dialog box to return to the **Forms** screen. If you look in the **Selected Form** field, you can see the directory where the form was saved next to the name of the form.

Saving Templates

Some data used in ePAVE may reoccur often enough to warrant creating a template. Data such as inventors' names, contact email addresses, and filer name may be entered into the appropriate fields and then saved in template form. You can reuse this template for new submissions, and it will already contain the information that you saved in the template.

A saved template should only be used to create new documents that are the same type of application submission as the template.

Creating a Template

Use the following procedure to create a template:

1. Enter the information that you want to save as a template in the appropriate fields.

2. Go to the **File** menu, then select **Save As Template**.

3. Enter a name for the template, and choose the location where you want to save the template.

4. Click the **Save** button.

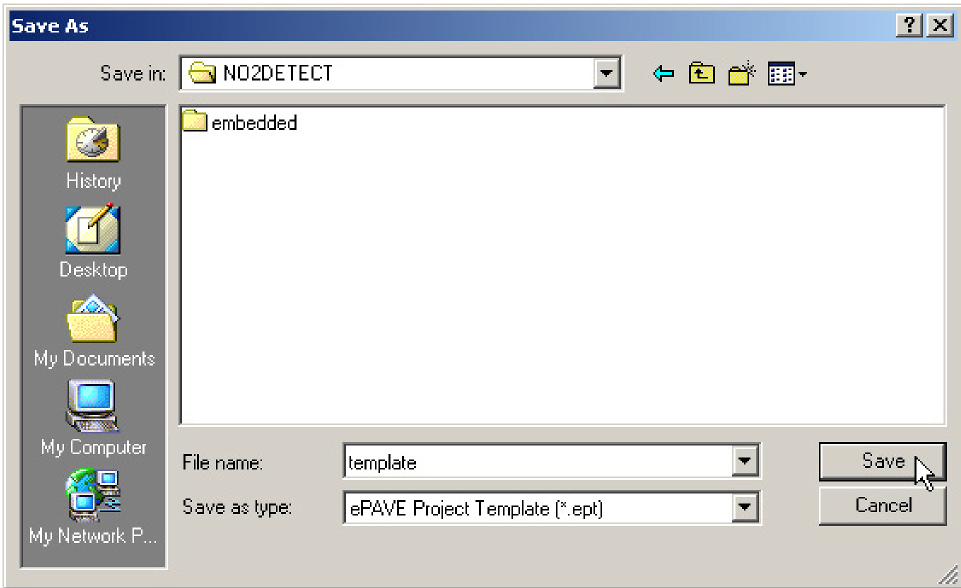


Figure 10: Saving a Template

Opening and Using a Template

Use the following procedure to open and use an existing template:

1. Go to the **File** menu and select **New**.
   The **New** submenu appears.

2. Select the type of application that you want to create.
   The **New Submission** dialog box appears.

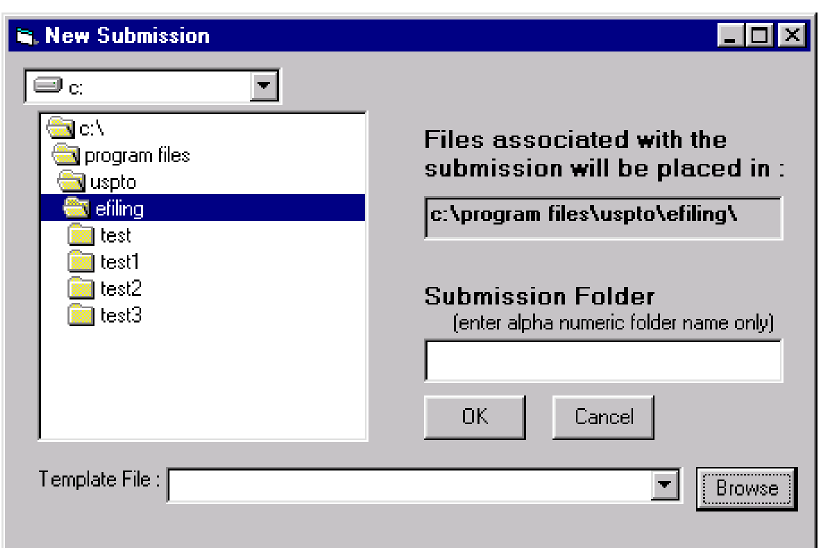


Figure 11: New Submission

3. Click the **Browse** button to locate the template file that you want to use.

4. Double-click the template file. Template files have the extension .ept.
   The template file name is placed in the **Template File** field on the **New Submission** window.

5. Enter a name for your submission folder in the **Submission Folder** field.

6. Click the **OK** button.
   The file opens with the template data already entered in the appropriate fields.

Printing ePAVE Data Entry Screens

You may print any of the ePAVE interface screens by selecting **Print** from the **File** menu, or by clicking the **Print** icon in the toolbar. The **Validation** screen and the **Acknowledgement Receipt** provide **Print** buttons at the bottom of the screen. To print one of these screen, click the **Print** button.

Printing Forms in ePAVE

When you are in the **General**, **Filer**, **Forms**, **Attachments**, **Validate**, **Comments**, or **Submit** screen, you can print the application transmittal form by selecting **Print** from the **File** menu. This applies unless another type of form is open. When application data sheet, fee transmittal, biosequence transmittal, information disclosure statement and patent assignment recordation forms are open, those forms will print when you select **Print** from the **File** menu.

After validation, you can print a complete list of validation errors and descriptions by clicking on the **Print Errors** button.

You can print a specific form on the **Attachments** screen by selecting the form name and clicking the **View** button. This applies to the application data sheet, fee transmittal, biosequence transmittal, information disclosure statement and patent assignment recordation forms. You can then print the attachment from the viewer.

FILING LARGE SUBMISSIONS USING COMPACT DISCS

If you attempt to file a utility patent application or Pre-Grant Publication Submission that exceeds the EFS system limit of 10 Megabytes, ePAVE generates an error message and advises you to submit the large application on a compact disc (CD or CD-R). You cannot send submissions larger than 10MB electronically. If a large biotechnology sequence listing, table, or computer program listing is causing the large application size, you may submit the application according to the requirements of 37 CFR § 1.52 (e) with the large section on CD and the rest in paper. However, regardless of the cause of the large size of the submission, you can use EFS can to file the application on CD. The process requires that your workstation is connected to a compact disc recorder, and can only be used for submissions that fit on a single compact disc.

Before Saving to CD

Before saving the zip files and sending the CD to USPTO, verify that your image files are compressed. If the application figure images are not compressed, you can compress the images and submit your application electronically. Use the following procedure to compress your application figure images:

1. Remove the specification XML document from the attachments in ePAVE.
2. Load the specification (.s4w document) in PASAT.
3. Remove the figures section from the specification:
   - Go to **Tools/Edit Sections** and deselect the **Figures** section. This removes all figures.
   - Once the section and figures have been removed, go back to **Tools/Edit** Sections and reselect the **Figures** section.
4. Open one of the images in **Windows Imaging**, which is located under the **Start** menu in **Program Files→Accessories→Imaging**.
5. Click **Page/Convert** or **Properties** depending on the version of **Windows Imaging** that you have.
6. Specify the following settings for the image:
   - **File type:** TIFF
   - **Color:** Black & White
   - **Compression:** Group 4
   - **Resolution:** 300x300 dpi
7. Save the image.
8. Repeat **Step 4** through **Step 7** for each image.
9. Using **PASAT**, load the specification and add the newly created TIFF figure images.

Using PASAT, you will need to view the specification in the browser again, validate the specification and export to XML. Once all of this has been done, you will be able to re-attach the specification XML in ePAVE.

If the tiff image problem is caused by the declarationtiff image file, follow steps 3 and 4.

There is a possibility that you will have to re-enter your information in ePAVE. Occasionally, if you have reached the point during submission where ePAVE bundles and encrypts the package, you will be unable to edit the information.

Saving Your Submission on CD

Use the following procedure to submit your EFS submission that is larger that 10MB on CD:

1. Print out the Transmittal Form.

2. Copy your submission folder that contains your entire application from the workstation to compact disc-recordable (CD-R) media.

3. Wrap the CD in a hard case within a padded protective mailing envelope, and attach a copy of the transmittal form. Enclose a cover letter explaining that the submission contains an application that was too large to be submitted electronically.

4. Hand carry or mail the CD-R and a copy of the paper transmittal form and cover letter to the USPTO. You can also deposit them with the US Postal Service under the Express Mail procedures of 37 CFR § 1.10.

NOTE: A certificate of mailing may be used in the same manner as the certificate of transmission described above.

USPTO advises that you keep a copy of the CD and transmittal form for your records. In step 2 above, you can also make a backup copy of the CD and send both copies to the USPTO. Label the CDs "Copy 1" and "Copy 2" and include a signed statement that the two copies are identical. Copy 1 will be used for processing, unless it is unreadable.

Please compare the files that you write to CD with the files that you have on your computer to verify that the write to CD was successful.

Once the USPTO receives the CD in the mailroom, the date of receipt is recorded and your submission is uploaded to the EFS server, where the files and decrypted and unzipped. Your application files will then be processed as EFS submissions.

If the submission was a new application (as opposed to a resubmission of an application under 18-Month Publication), USPTO prints an Acknowledgement Form that is modified to indicate that the USPTO mail room date of receipt or the Express Mail date is the date of receipt, rather than the later date of upload to the EFS server. The Acknowledgement Form is placed in the file with the printed application, and a copy is sent back to you for your records.

If the files contain large tables, sequence listings or computer program listings, the Office has the option of not printing the large files, but rather burning two CD-Rs of such data and treating them under the CD practice of 37 CFR 1.52(e). If the file is an amino acid/ nucleotide sequence listing, then one additional copy of such a sequence listing will be created and sent to STIC as the CRF. In any case, one CD is placed in the file, and one is put in the CD repository.

If you are paying by credit card or deposit account, the fee information is processed by USPTO Office of Initial Patent Examination’s Electronic Application Review Office in the same manner as an on-line submission. The files provided on CD are signed and encrypted, so the Patent application data is protected during mailing and any storage time at the USPTO. Once the Office of Initial Patent Examination’s Electronic Application Review Office receives the CD, the electronic files are uploaded to the EFS secure database and made available for publication.

From this point, processing continues as if the application were submitted electronically.

CREATING A CRF BIOSEQUENCE LISTING SUBMISSION

Use the following procedure to begin creating a CRF Biosequence Listing submission:

1. Launch ePAVE by clicking on the **ePAVE** icon on your desktop, or by double-clicking **ePAVE.exe**.
   ePAVE launches and the ePAVE window appears on your computer.

2. Go to the **File** menu and select **New**.
   A submenu listing the types of submissions that you can create appears.

3. Choose CRF Bio Sequence Listing from the submenu.
   The New Submission window appears.

4. Enter the name that you want to use to identify the submission folder for your new submission in the **Submission Folder** field. You can also specify the location of this folder by browsing in the directory on the left side of the window.

NOTE: You can not begin creating a new submission unless you have created a new folder for that submission and related documents.

5. Click **OK**.
   ePAVE creates a new submission folder where all forms and attachments related to this submission are stored, and opens the tab screens that you will use to complete your CRF Biosequence Listing submission.

6. Complete the required fields on each of the tab screens that are shown in the ePAVE window—**General**, **Filer**, **Forms**, **Attachments**, **Certificate of Transmittal**, **Validation**, **Comments**, and **Submit**.
   For details about each of these screens, see the following sections.

General Tab

The **General** tab is the first screen that you complete when authoring a CRF Biosequence Listing submission. Use the following procedure to complete the **General** tab:

1. Select the type of application that you are submitting from the **Prerequisites** drop-down list.
   The data fields on the **Genera**l tab change depending on the type of submission you select.

   - **Subsequent Filing Before Issue Date**
     A pending patent application, i.e., an application awaiting examination or in the examination process. The data field layout opens to this option by default, although you must still choose this option in the **Prerequisites** drop-down menu. This selection indicates that you are filing an electronic patent application submission prior to the issuance of the patent. These filings are active filings and may form part of the legal record for the patent application.

   - **Subsequent Filing after Issue Date**
     A patent application that has been examined and issued as a patent. If you select **Subsequent Filing after Issue Date**, the fields on the **General** screen change

2. If you selected **Subsequent Filing Before Issue Date**, enter your email address in the **Email address** field and then complete the fields in the **Application Data** section of the screen. For more information about these fields, see *Fields and Buttons on the General Tab – Subsequent Filing Before Issue Date on page 36.*

   If you selected **Subsequent Filing After Issue Date,** enter your email address in the **Email address** field and then complete the fields in the **Patent Data** section of the screen. For more information about these fields, see ***Fields and Buttons on the General Tab - Subsequent Filing After Issue Date on page 39.***

Fields and Buttons on the General Tab – Subsequent Filing Before Issue Date

The following image shows the **General** tab when you specify **Subsequent Filing Before Issue Date** in the **Prerequisites** field.

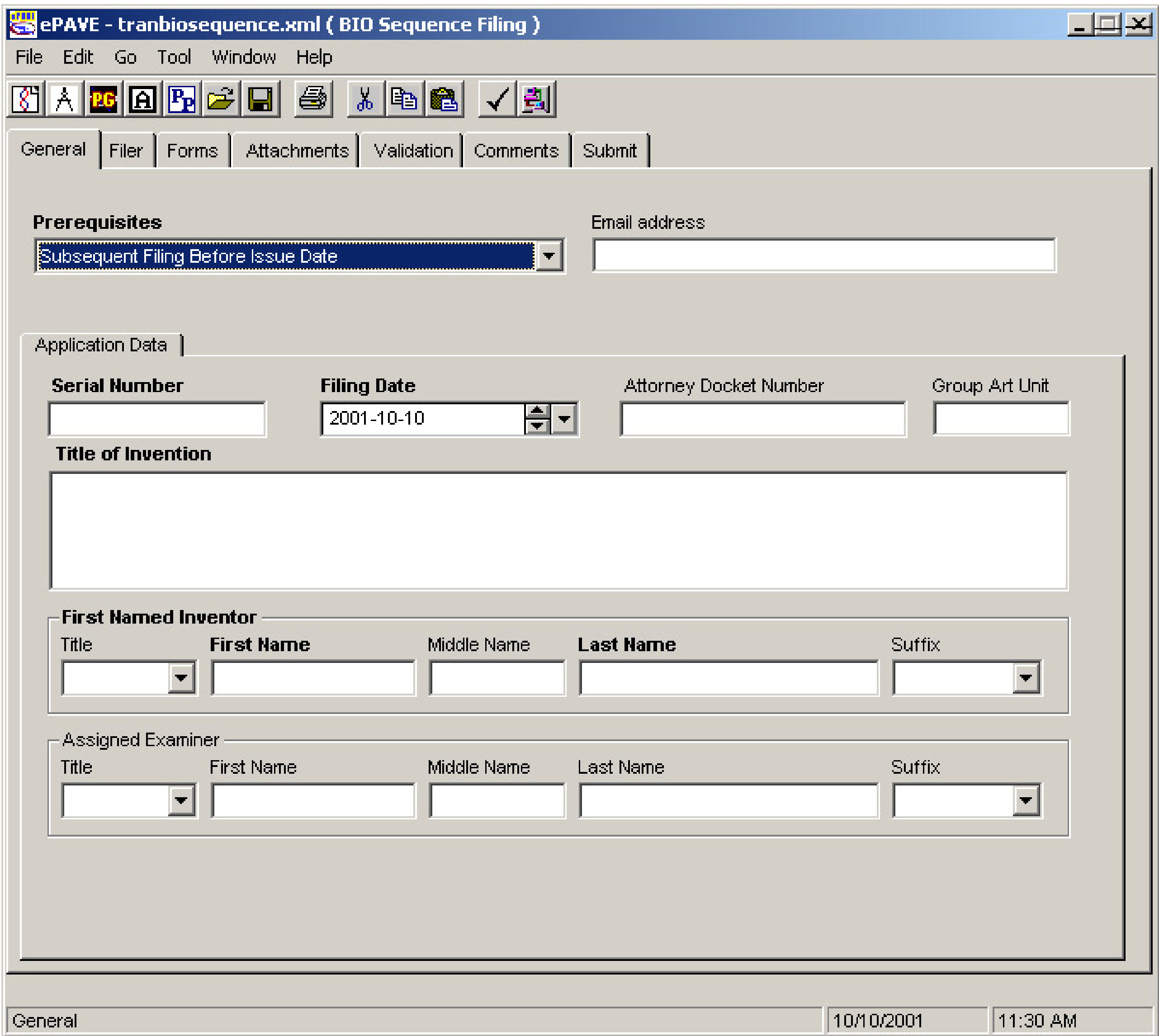


Figure 12: General Tab for Biosequence Listing – Subsequent Filing Before Issue Date

The following table describes the fields that are available on the **General** tab when you choose **Subsequent Filing Before Issue Date** in the **Prerequisites** field.

Table 3: Fields on the General Tab – Subsequent Filing Before Issue Date

Field	Action	Required or Optional

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail)address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	Optional
Serial Number	For biosequence listing submissions filed as subsequent filings, enter the application (serial) number that was assigned to the corresponding patent application by the USPTO.	Required
Filing Date	For biosequence listing submissions, enter the official (actual) filing date that was granted to the corresponding application by the USPTO.	Required
Attorney Docket Number	Enter the reference number that you want to use to identify your application. This number is not assigned by the USPTO, and can be any number of your choice.	Optional
Group Art Unit	For biosequence listing filings that are subsequent filings, enter the art unit number where the application is assigned for examination, if known.	Optional
Title of Invention	Enter the full title of the patent application for which you are submitting this filing. Include all spaces and punctuation.	Required
First Named Inventor	Enter the name of the inventor that is listed first in the declaration of the Patent application for which you are filing this submission.	Required
Title	Enter a courtesy title for the First Inventor, such as Mr., Mrs., Ms., Dr., etc.	Optional
First Name	Enter the first or given name of the First Inventor.	Required
Middle Name	Enter the middle name of the First Inventor.	Optional
Last Name	Enter the family or surname of the First Inventor.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the First Inventor.	Optional
Assigned Examiner	For biosequence listings enter information identifying the Examiner who is assigned to this application, if known. This entire section is optional; however, if an examiner is identified, the First Name and Last Name fields are required for the Examiner.	Optional
Title	Enter a courtesy title for the Examiner, such as Mr., Mrs., Ms., Dr., etc..	Optional
First Name	Enter the first or given name of the Examiner.	Required if examiner is identified
Last Name:	Enter the family or surname of the Examiner.	Required if examiner is identified

Fields and Buttons on the General Tab - Subsequent Filing After Issue Date

The following image shows the fields available on the **General** tab when you specify **Subsequent Filing After Issue Date** in the **Prerequisites** field.

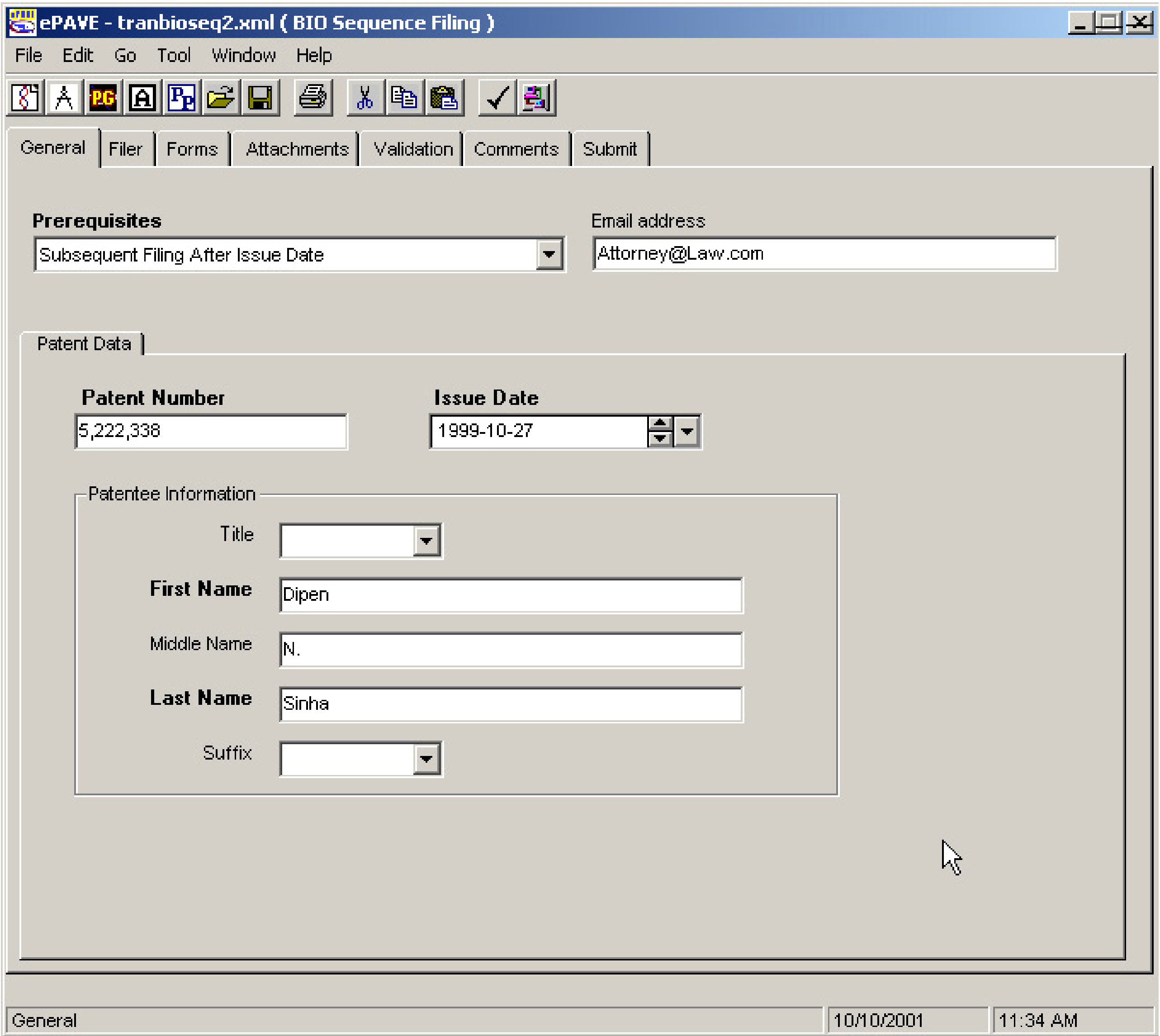


Figure 13: General Tab for Biosequence Listing - Subsequent Filing After Issue Date

The following table describes the fields of the **General** tab when you choose **Subsequent Filing After Issue Date** in the **Prerequisites** field.

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail) address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	Optional

Field	Action	Required or Optional
Patent Number	For biosequence listings filed as subsequent filings, enter the Patent number that was assigned to the corresponding Patent by the USPTO.	Required
Issue Date	For biosequence listings. enter the official (actual) Patent issue date that was granted to the corresponding application by the USPTO.	Required
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the Patentee.	Optional
First Name	Enter the first or given name of the Patentee.	Required
Middle Name	Enter the middle name of the Patentee.	Optional
Last Name	Enter the family or surname of the Patentee.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the Patentee.	Optional

NOTE: Patent data is requested for submission of Biosequence listings that are filed electronically after the issue date of the patent application.

Filer Tab

The following figure shows the **Filer** tab, which is the screen where ePAVE requests information about the person or entity that signs the transmittal.

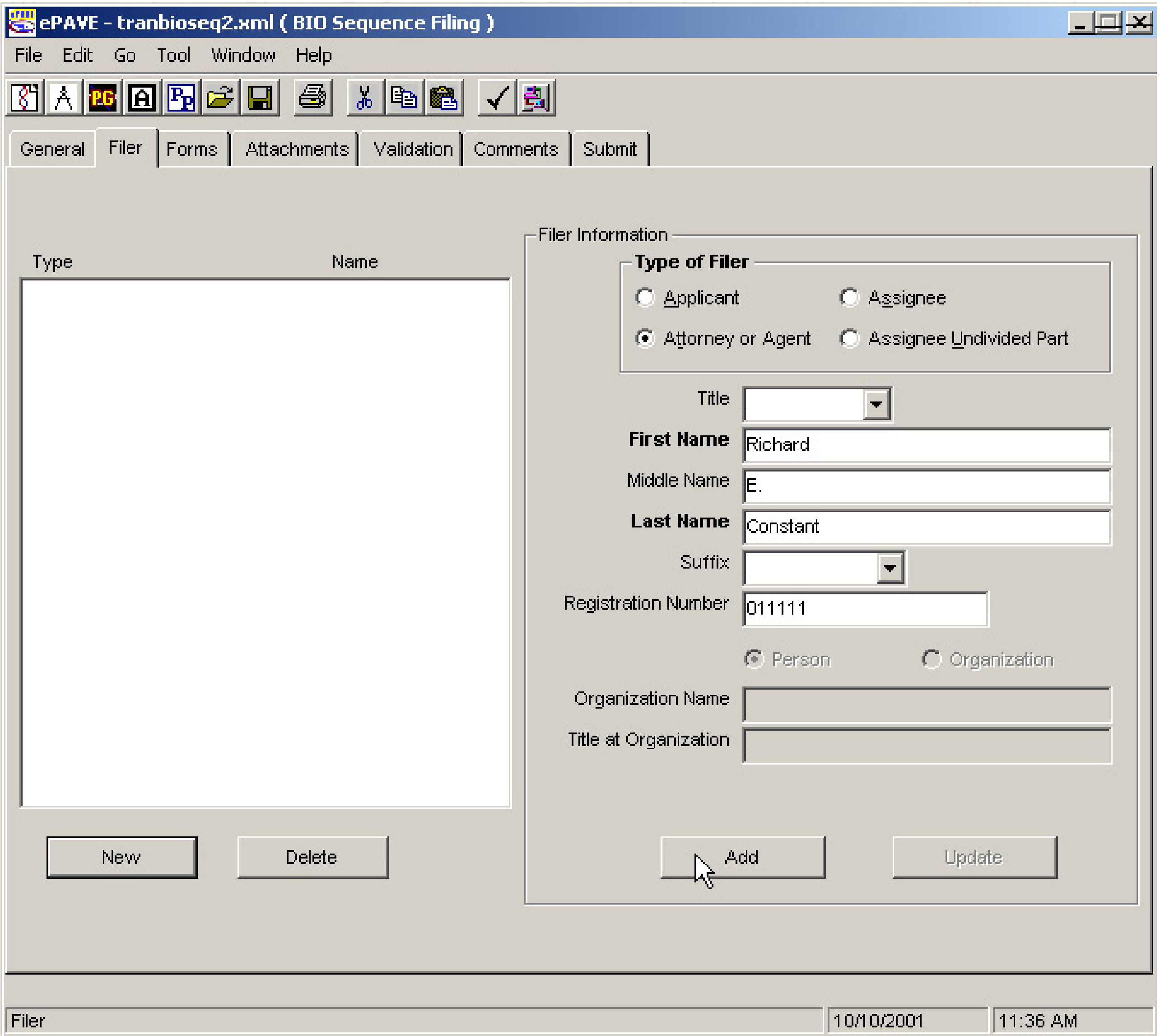


Figure 14: Filer Tab

The fields on this screen vary depending on the type of filer that you specify. The filer information that you enter on this screen becomes part of the transmittal form that ePAVE automatically produces as an XML form document.

In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations who sign the transmittal on behalf of another party. If you are filing as an organization, you must also provide the Organization name and the Title at Organization of the person signing the application.

The following combinations of filers are acceptable: 1 or more attorney(s) or agent(s), 1 assignee only, 1 or more applicant(s) and assignee(s) of undivided part.

Fields and Buttons on the Filer Tab

The following table lists the fields and buttons on the **Filer** tab, and also describes the information that you must enter into each field and the function of each button.

Table 4: Fields and Buttons on the Filer Tab

Field or Button	Action	Required or Optional
New	Click this button to clear all of the fields on the **Filer** screen and begin creating a new filer.	N/A
Delete	Click this button to delete a filer after you highlight that filer in the list of filers.	N/A
Applicant	Click this button to identify the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.	Required - you must select one of these radio buttons.
Assignee	Click this button to identify the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Attorney or Agent	Click this button to identify the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).	
Assignee Undivided Part	Click this button to identify the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the filer.	Optional
First Name	Enter the first or given name of the filer.	Required
Middle Name	Enter the middle name of the filer.	Optional
Last Name	Enter the family or surname of the filer.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the filer.	Optional
Registration Number	Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s).	Optional
Person	Select this option if the assignee filing this transmittal is a person.	Required only when the Filer is identified as an Assignee. You must select either **Person** or **Organization**.
Organization	Select this option if the assignee filing this transmittal is a business entity or non-profit institution.	

Field or Button	Action	Required or Optional
Organization Name	Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution.	**Organization**.
Title at Organization	Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization.	**Organization Name** and **Title at Organization** are required fields when the **Assignee** is an organization.
Add	Click this button to add the new filer after you have completed the fields on the **Filer** screen.	
Update	Click this button to update the **Filer** information.	

Creating a New Filer

Use the following procedure to create a new **Filer**:

1. Click the **Filer** tab to go to the **Filer** screen.
   ePave opens the **Filer** screen.

2. Select the type of filer by clicking the appropriate radio button in the **Type of Filer** section.
   ePAVE deactivates any fields that are not required for the type of filer that you have selected.

3. Complete the remaining fields in the **Filer Information** section. For more information about these fields, see *Fields and Buttons on the Filer Tab on page 42.*

NOTE: If the new filer is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons to indicate whether this assignee is an actual person or a business or non-profit entity.

4. Click the **Add** button.
   The filer is added to the list of filers shown on the left side of the screen.

5. Repeat **Step 2** through **Step 4** for any additional filers.

The following figure shows the **Filer** tab after a new filer has been added.

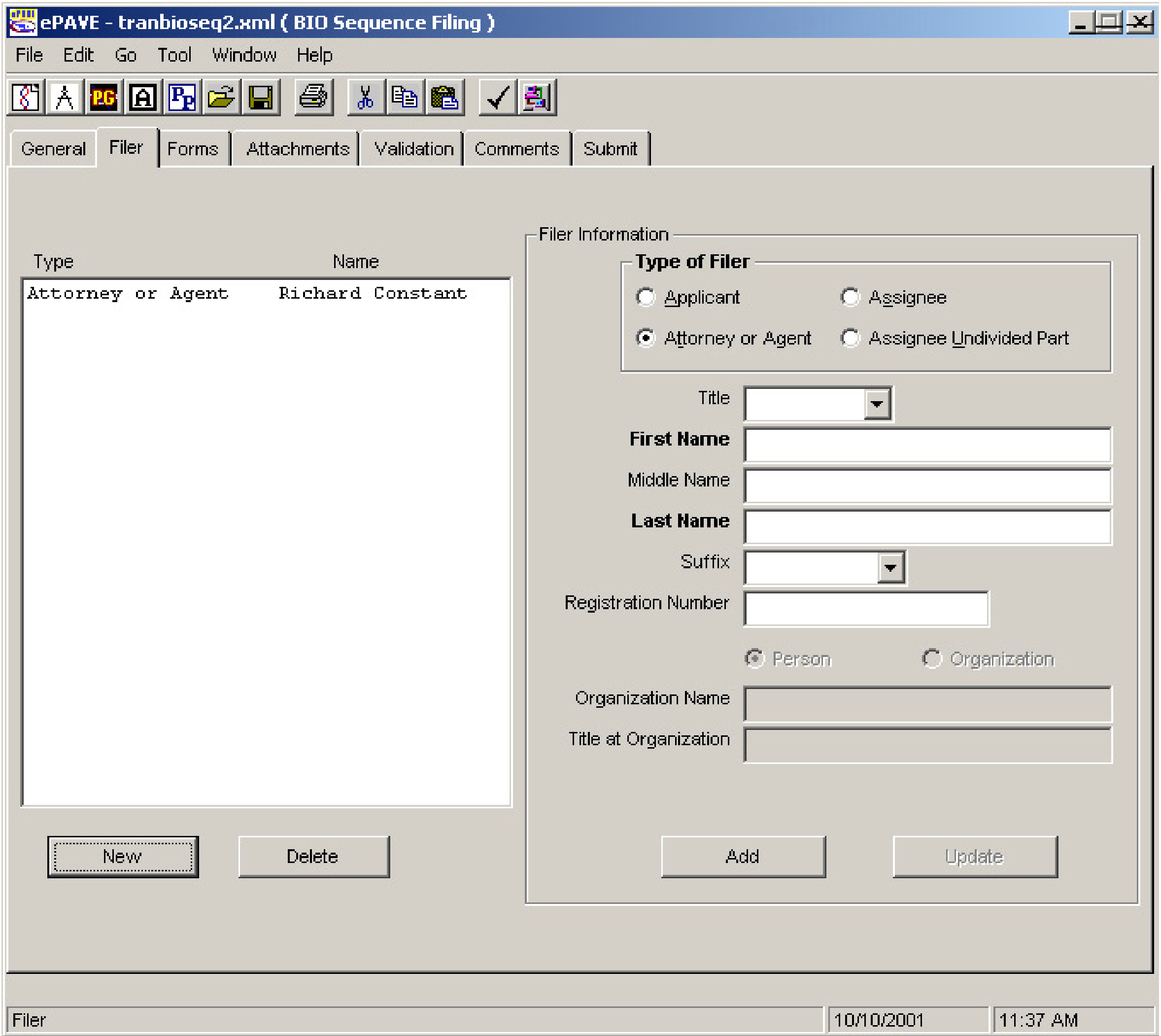


Figure 15: Updated Filer Tab

Changing Filer Data

ePAVE allows you to change the filer information for filers that you have already added. Use the following procedure to change filer information:

1. Go to the **Type/Name** field, and click the name of the filer that you want to edit. The current information for the selected filer appears in the **Filer Information** fields.

2. Enter any changes in the appropriate fields.

3. Click the **Update** button to update the filer information with your changes.

Deleting a Filer

ePAVE allows you to remove filers from the list of filers. Use the following procedure to remove a filer:

1. Click the name of the filer that you want to delete in the filers list, shown in the **Type/Name** field on the left side of the screen.

2. Click the **Delete** button. The filer is removed from the list of filers, and all of the information about this filer is deleted.

Forms Tab

The following figure shows the **Forms** tab, which has two sections—**Form Description and Usage** and **Simple Form List**. The **Form Description and Usage** section displays text that describes the selected form and its intended use. The **Simple Form List** section of the screen shows all forms that are available for electronic filing in the **Available Forms** list, and shows forms in the EFS submission folder that you have selected to send to USPTO during your electronic filing transaction in the **Selected Forms** list.

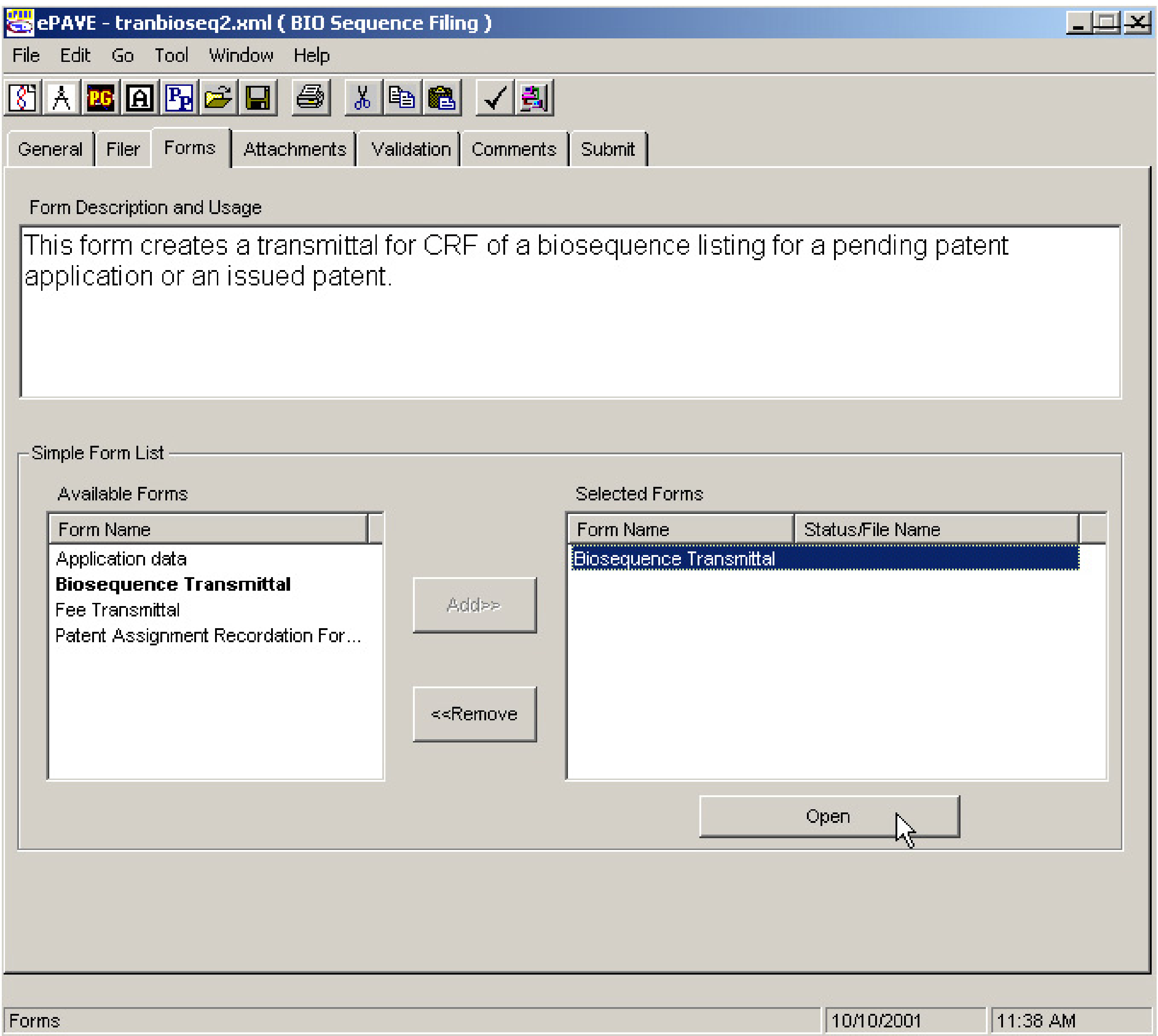


Figure 16: Forms Tab

Since you are filing a CRF Biosequence listing, the **Biosequence Transmittal** form is required and is therefore shown in bold letters in both the **Available Forms** and **Selected Forms** lists. When a form title appears in bold letters, it indicates that the form is required for the type of patent application submission electronic filing you are creating. When you click on the name of a form in either the **Available Forms** list or **Selected Forms** list, a description of the form and its usage appear in the **Form Description and Usage** text display box.

Fields and Buttons on the Forms Tab

The following table lists the fields and buttons on the **Forms** tab, and also describes function of each field and button.

Table 5: Field and Buttons on the Forms Tab

Field or Button	Action or Function	Required or Optional
Form Description and Usage	This field displays a description of a form when you highlight the form in the **Selected Forms** field or the **Available Forms** field.	N/A
Available Forms	This field lists all of the forms that are available for the type of application you are creating. Click on the name of a form to view a description of the form in the **Form Description and Usage** field.	N/A
Selected Forms	This field lists all of the forms that you have selected from the **Available Forms** list, and also lists any forms that are required for the type of application you are submitting.	N/A
Add	Click this button to add a form listed in the **Available Forms** list to the **Selected Forms** list.	N/A
Remove	Click this button to remove a form from the **Selected Forms** list.	N/A
Open	Click this button to open the form that you have highlighted in the Selected **Forms** list.	N/A

Adding a Form

Use one of the following procedures to add a form to the **Selected Forms** list:

1. Click on the name of the form that you want to add in the **Available Forms** list.

2. Click the **Add** button.
   The form is added to the **Selected Forms** list.

   OR

3. Double-click the name of the form that you want to add in the **Available Forms** list.
   The form is added to the **Selected Forms** list.

Completing a Biosequence Transmittal Form

Use the following procedure to complete a Biosequence Transmittal form:

1. Click on the Biosequence Transmittal in the Selected Forms list.

2. Click the **Open** button.
The **Biotechnology Sequence Listing Data** screen appears, which provides information about the rules and procedures for filing your electronic Computer Readable Form (CRF) biotechnology sequence listing(s).

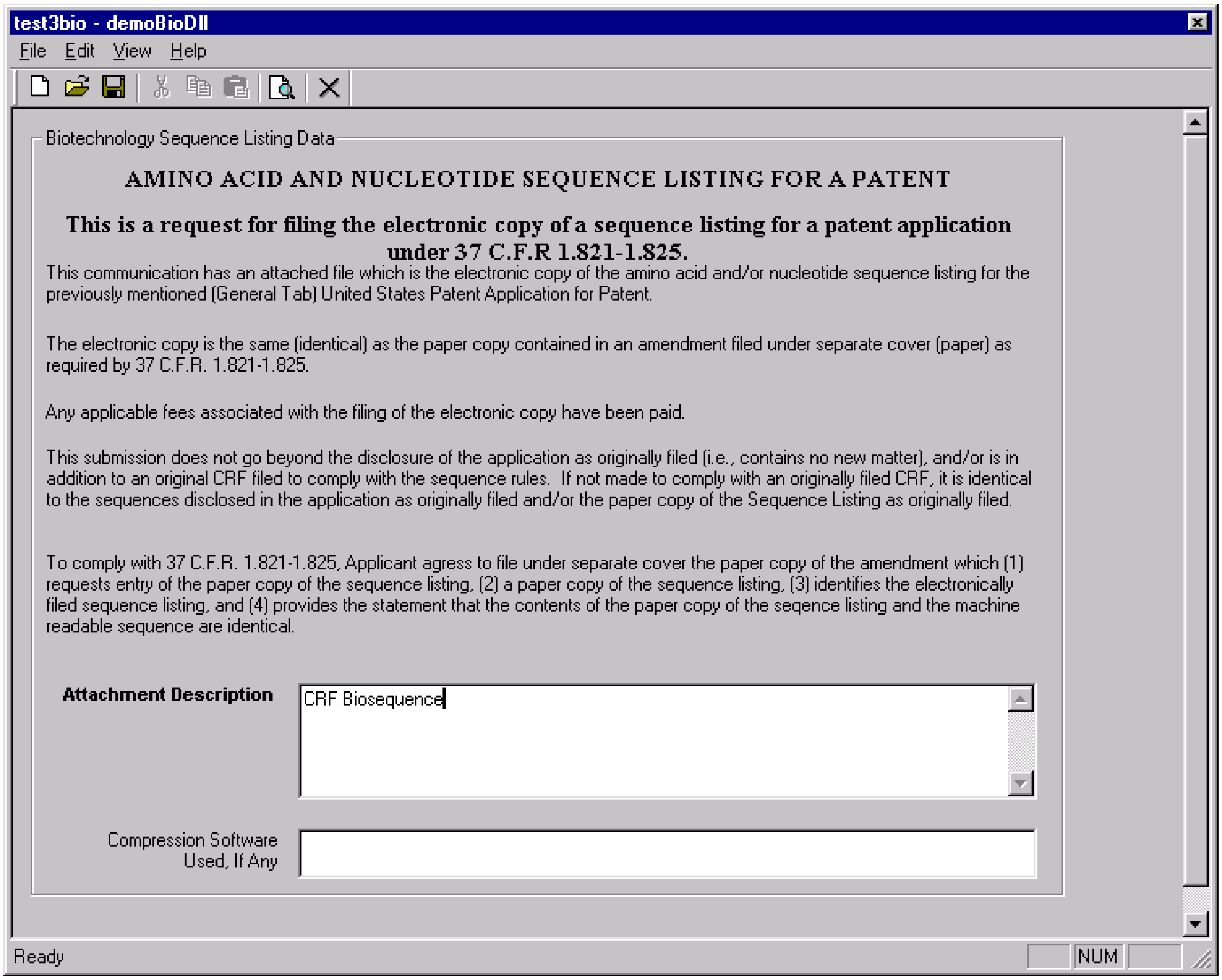


Figure 17: Biotechnology Sequence Listing Data Screen

3. Type a brief description of the CRF file(s) that you are filing electronically in the **Attachment Description** text box. For example, if there is more than one file, the description should indicate the order of re-assembly.

4. Type the name and version number of any compression software that you used to compress your file(s). This is necessary so the USPTO can decompress the file at a later time. If you did not use any compression methods, leave this field blank.

NOTE: According to 37 CFR 1.824(a)(4) and (b), the compressed file should be self extracting; however, ePAVE will not allow executable files (.exe) to be submitted to mitigate the possibility of virus infection of USPTO systems. While zip-format is an acceptable alternative for Internet-filed sequence listings, USPTO recommends that you do not compress the sequence listing(s), since ePAVE automatically compresses the entire package.

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5. Close the form by clicking the **X** in the upper right hand corner of the screen, or by selecting **Close** from the **File** menu.
   A dialog box appears, asking if you want to save the form.

6. Click **Yes** to save the form.
   After the program successfully saves the document, you are automatically returned to the **Forms** tab.
   ePAVE automatically creates a biotechnology-specific XML form document based on your saved data, which is automatically attached to the submission. The file is also shown on the **Attachments** tab, along with the directory path for the form.

Removing a Form

Use the following procedure to remove a form from the **Selected Forms** list:

1. Click on the name of the form in the **Selected Forms** list that you want to remove.

2. Click the **Remove** button.
   The form is removed from the **Selected Forms** list.

You can remove any form listed in the Selected Forms box from the submission, but if you remove a recommended/required form you may cause validation errors.

If you have already saved the form, which automatically attaches it to the electronic submission package, you must also remove the form from the electronic package after you remove it from the Selected Forms list. To completely remove the form from the submission, select the Attachments tab, select the form again, and then click the REMOVE button. For more information about this procedure, see Removing a File on page 50.

Attachments Tab

The following figure shows the **Attachments** tab, which allows you to attach your authored sequence listing (ASCII) files to your submission. You may attach a text file produced using a sequence-listing editor or you may attach a Biosequence Listing file you authored using USPTO's **PatentIn** sequence-listing editor.

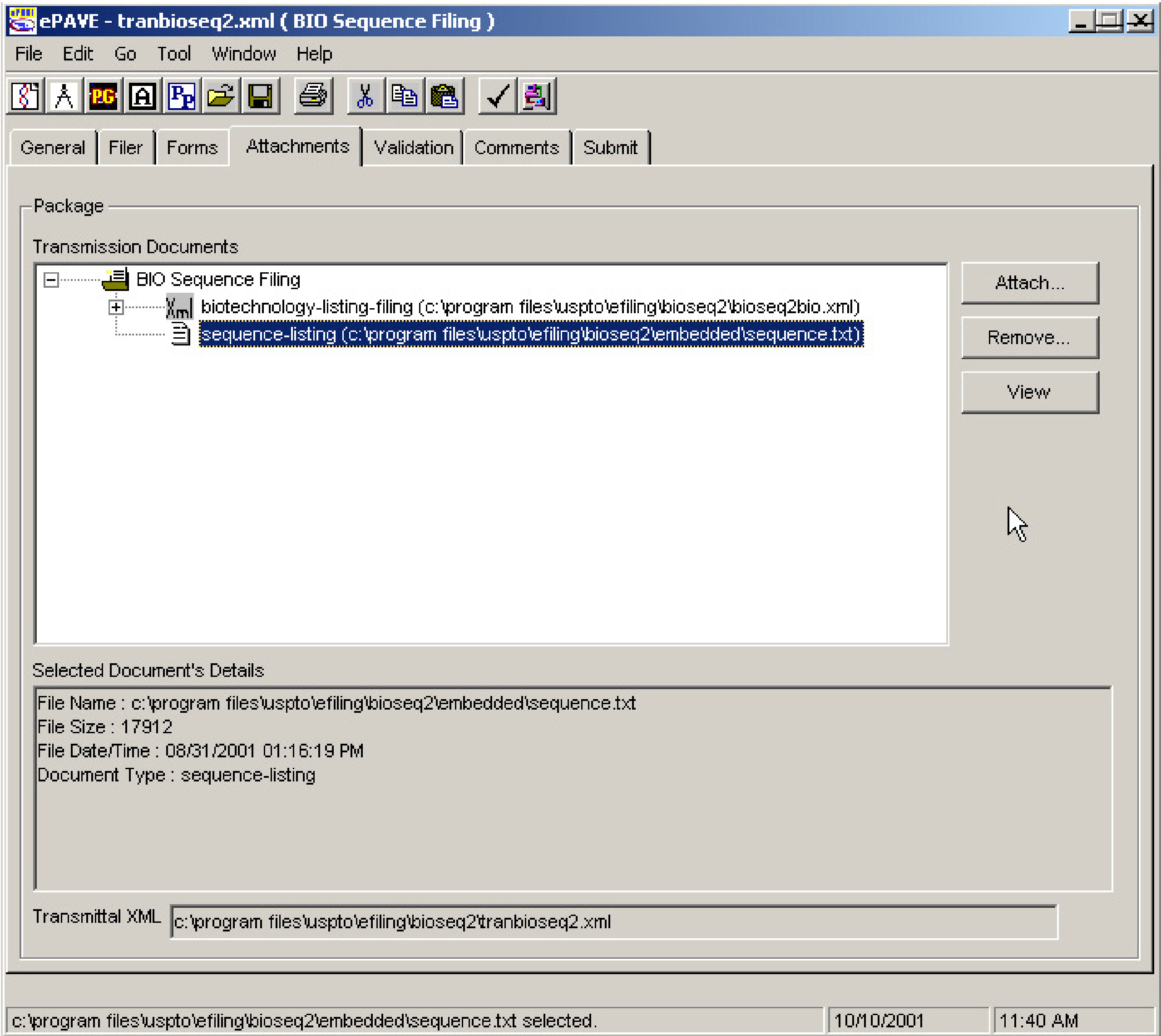


Figure 18: Attachments Tab

Fields and Buttons on the Attachments Tab

The following table explains the fields and buttons on the **Attachments** tab, and also explains the function of each field or button:

Table 6: Fields and Buttons on the Attachments Tab

Field or Button	Action or Function	Required or Optional
Transmission Documents	This field identifies all of the documents that are attached to your submission package. You can browse through the directories to locate a specific file.	N/A
Attach	Click this button to attach a file to the submission package. For more information about this procedure, see ***Attaching a File***	N/A

Field or Button	Action or Function	Required or Optional
	on page 50.	
Remove	Click this button to remove a file from the submission package. For more information about this procedure, see Removing a File on page 50.	N/A
View	Click this button to view The **View** button located under the **Remove** button on the Attachments tab screen is used to view the XML documents using EFS USPTO standard style sheets and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.	
Selected Document's Details	This field shows detailed information about any form that is selected in the **Transmission Documents** field, including file name, file size, date/time, and document type.	
Transmittal XML	This field shows the location of the Transmittal XML document.	

Attaching a File

Use the following procedure to attach a file:

1. Click the **Attach** button.
   A dialogue box opens that allows you to view the directories where you have stored files.

2. Browse through the directories to locate the drive and folder where you saved the authored sequence listing.

3. Double-click the sequence listing text file to attach the file, or select the file and click **Open**.

Removing a File

Use the following procedure to remove a file from the submission package:

1. Select the file you want to remove. The entire file should be highlighted blue on the screen.

2. Click the **Remove** button to remove the attachment.

NOTE: To re-attach a document that you have removed from the submission package, you must go back to the Forms tab and re-select the form you removed, and then go to the Attachments tab and re-attach the form.

Viewing and Printing Your Submission

Use the following procedure to view and/or print the **Submission Transmittal Form**:

1. Select **Print Preview** from the ePAVE **File** menu. This allows you to view the form on the screen.

2. Click the **Print** button to print the form to your default printer.

Certificate of Transmittal Tab

The **Certificate of Transmittal** tab displays the information fields necessary to complete a Certificate of Transmittal. The Certificate of Transmittal is the Internet filing electronic equivalent to the existing Certificate of Mailing and Certificate of Facsimile practice (see 37 CFR 1.8; MPEP Sections 502,502.01), and is designed to afford Internet filed submissions the same significance as submissions filed by facsimile.

The Certificate of Transmittal tab is only submitted via EFS when you electronically file a Computer Readable Form (CRF) Biotechnology Sequence Listing as a subsequent filing or file select Pre-Grant Publication EFS submissions. Please refer to the **EFS Legal Framework** located at the **Patents Electronic Business Center** web site for more details regarding allowable use of the Certificate of Transmittal.

False use of this certificate will not satisfy running statutory time periods and does not guarantee acceptance by the USPTO. This certificate is only valid for subsequence filings. The Certificate of Transmittal cannot be used for a new utility application filing.

The following figure shows the **Certificate of Transmittal** tab:

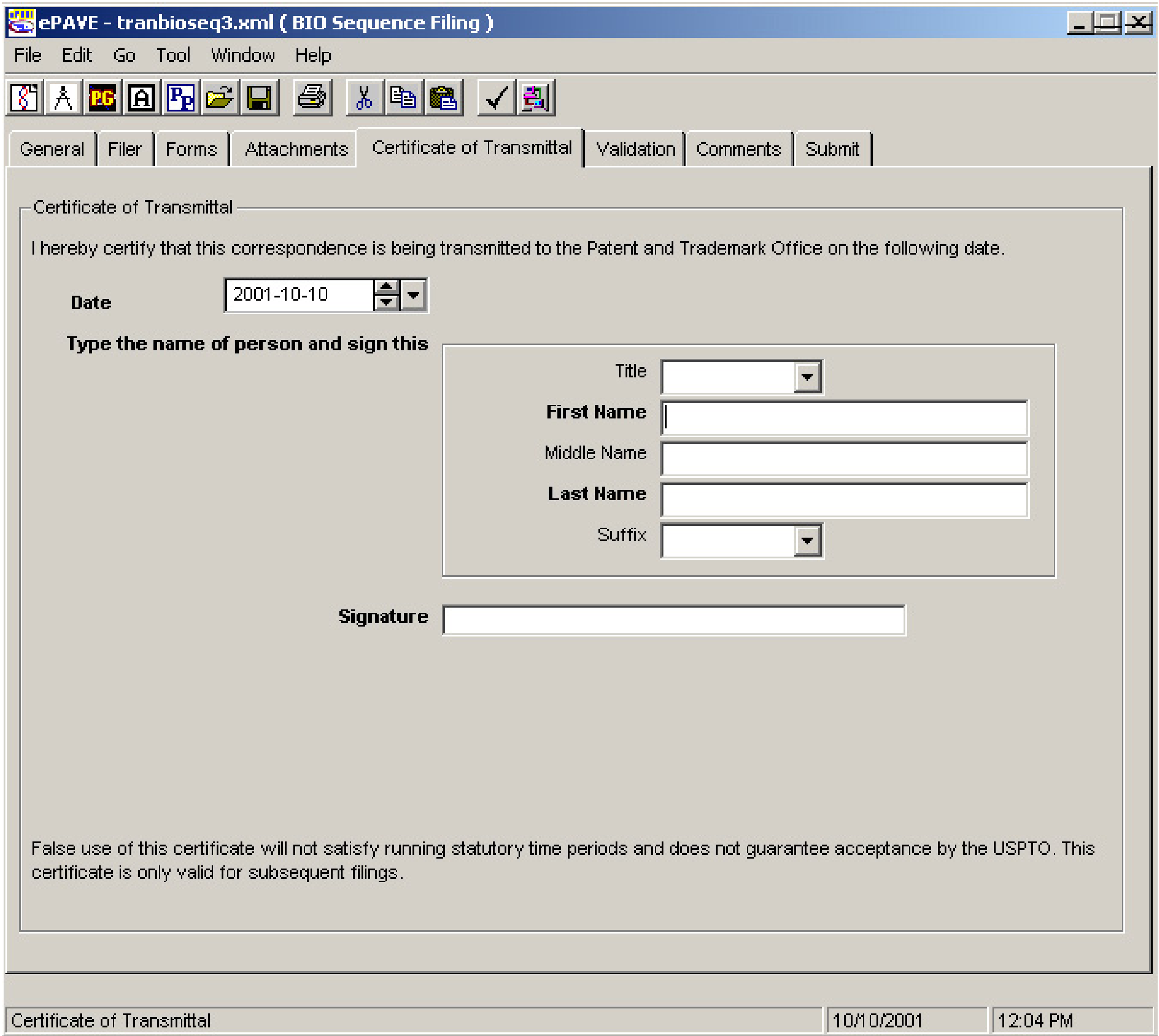


Figure 19: Certificate of Transmittal Tab

Fields and Buttons on the Certificate of Transmittal Tab

The following table describes the fields and buttons on the **Certificate of Transmittal** tab:

Field or Button	Action or Function	Required or Optional
Date	Choose the correct date using the drop-down box.	Required
Title	Enter your title.	Optional
First Name	Enter your first or given name.	Required
Middle Name	Enter your middle name.	Optional
Last Name	Enter your last or family name.	Required

Field or Button	Action or Function	Required or Optional
Suffix	Enter your generational title, such as Jr., Sr., III, etc.	Optional
Signature	Enter the characters that are your digital signature.	Required

Completing the Certificate of Transmittal

Use the following procedure to complete the Certificate of Transmittal:

1. Click the Certificate of Transmittal tab.
ePAVE opens the Certificate of Transmittal screen.

2. Complete the fields on the **Certificate of Transmittal** screen. For more information about these fields, see ***Fields and Buttons on the Certificate of Transmittal Tab on page 52.***

Validation Tab

The **Validation** tab provides an automatic validation of your submission to identify any errors before you send your submission to the USPTO. You can manually validate the submission at any time by clicking on the **Validate** button or by clicking the check mark icon on the ePAVE tool bar.

You can print a list of current errors at any time during the authoring stage of the submission process.

ePAVE's validation messages are produced by a computer validation program that reads the XML-tagged data that you are submitting. The error messages that ePAVE provides identify specific errors in your submission.

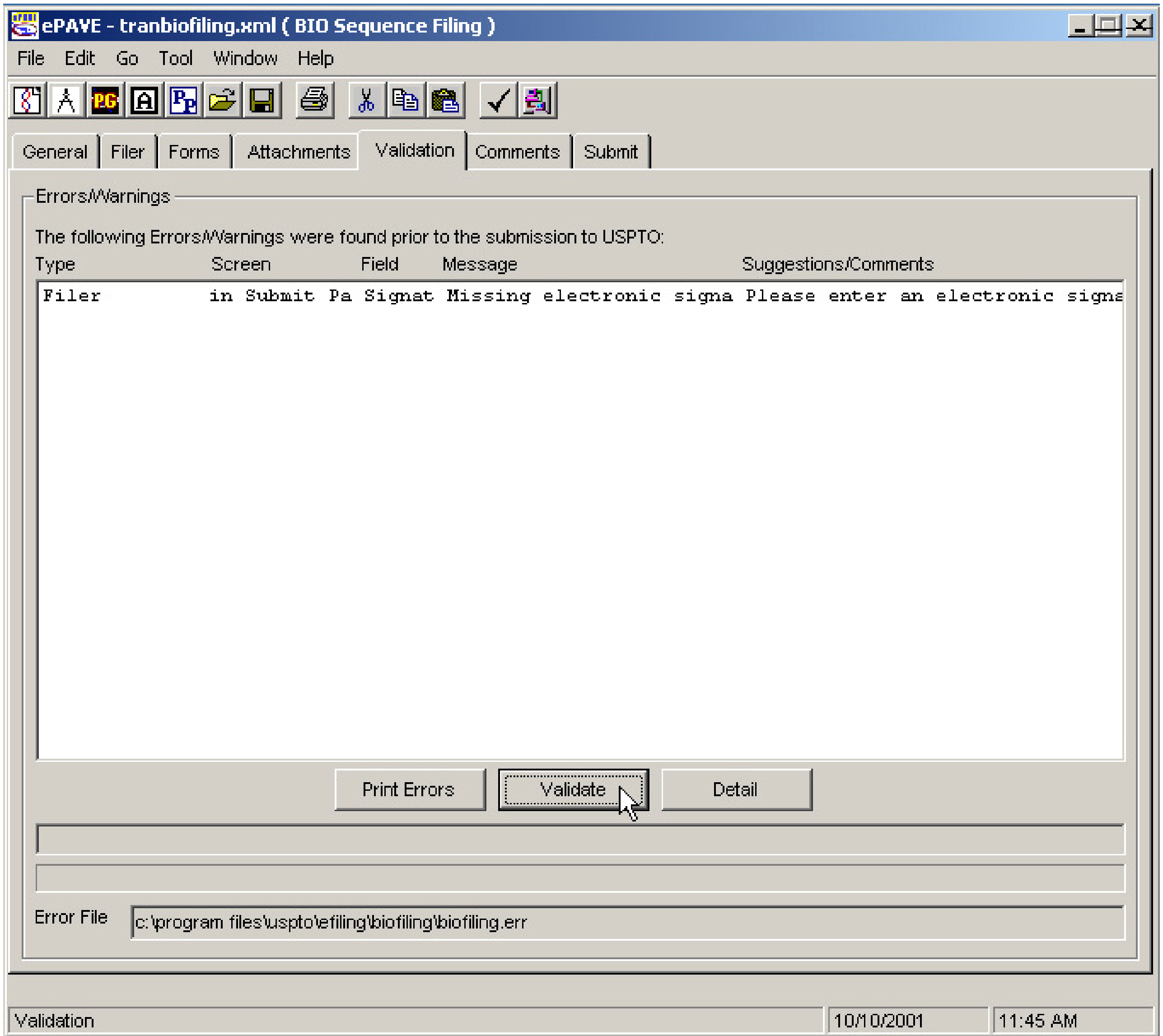


Figure 20: Validation Tab

Fields and Buttons on the Validation Tab

The following table explains the fields and buttons on the **Validation** tab:

Field or Button	Action or Function	Required or Optional
Type	This column shows the type of error.	
Screen	This column shows the screen where there error occurs.	
Field	This column identifies the specific field where the error occurs.	
Message	This column shows the error message related to this error.	
Suggestions/Comments	This column provides instructions for correcting the error.	

Field or Button	Action or Function	Required or Optional
Print Errors	Click this button to print the list of errors to your default printer.	
Validate	Click this button to validate your submission. EPAVE returns a list of errors in the field above.	
Detail	Click this button to view the details of the selected error. You can also double-click the error to view its details. The Error Message Detail window provides additional instructions on how to correct the error..	
Errors File	This field shows the location where the errors file is stored.	

Validating your Submission

Use the following procedure to validate your submission:

1. Verify that your computer is connected to the Internet. You must be connected to the Internet before you can validate your submission.

2. Click the **Validate** button.
   ePAVE validates your submission and lists any errors that it identifies during this process in the **Errors/Warnings** field.

3. Double-click on an error that is listed in the field, or select an error and click the **Detail** button.
   The **Error Message Detail** window appears, providing additional information about the error and instructions for correcting the error.

4. Correct the error as suggested in the **Error Message Detail** window.

5. Repeat **Step 3** for each error.

6. Click the **Close** button or the **X** at the top of the page when you are finished.
   The **Error Message Detail** window closes, and you return to the **Validate** tab.

7. Click the **Validate** button to revalidate your corrected submission.

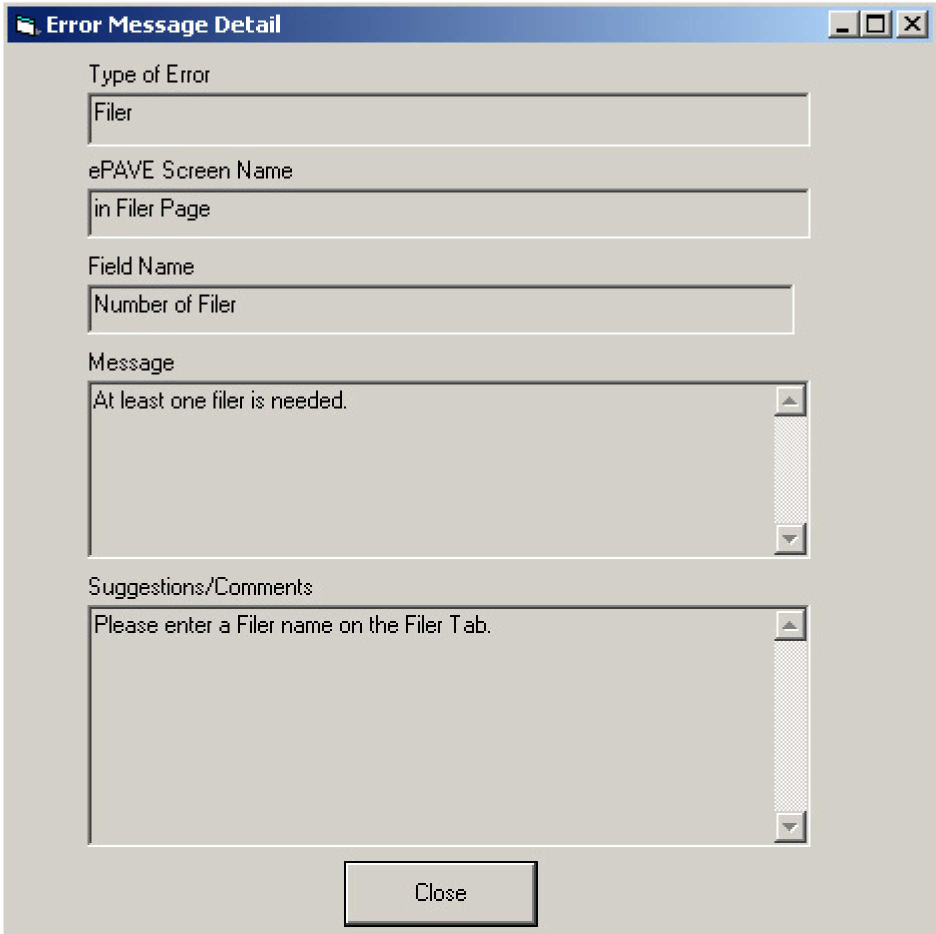
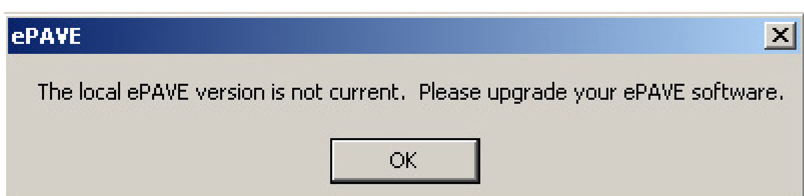


Figure 21: Error Message Detail

Common Validation Errors

If you attempt to use a version of ePAVE that is not the most current version available, you will receive an error message during validation that is similar to the following messages:



Or

This XML files DTD does not match any server's.
Please check if you need to update your DTD

If you receive one of these error messages during validation, go to the EFS website that is accessible from www.uspto.gov and download the latest ePAVE software. You can check your version by going to the **Help** menu in the ePAVE interface and selecting **About ePAVE**.

Printing Identified Errors

Use the following procedure to print a list of the errors that ePAVE identified during validation:

1. Click the **Print Errors** button.
   The list of errors that ePAVE identified during validation are printed on your default printer.

Comments Tab

The **Comments** tab contains a text box where you can author any additional comments that you want to include on your XML transmittal. For example, if you are filing a pre-grant publication to correct errors in a previous publication, you should indicate what changes you are submitting for republication. For a subsequent filing, such as the CRF biotechnology sequence listing submission or the new utility Patent application submission, you should include any detailed information about the Patent application that you are filing that is not already contained in the documents and forms attached to your submission.

The following examples show are notations for citing corrections made to a publication submission. You must identify the INID code, drawing page, paragraph number, or claim number. You can also include the title of the application, although it is also captured on the transmittal form.

Example 1: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example 2: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Another instance where you would use the **Comments** tab is when you are filing a pre-grant publication redacted application via EFS to indicate that you have met the concurrent paper requirements of the new rule 1.217(c).

The following figure shows the **Comments** tab:

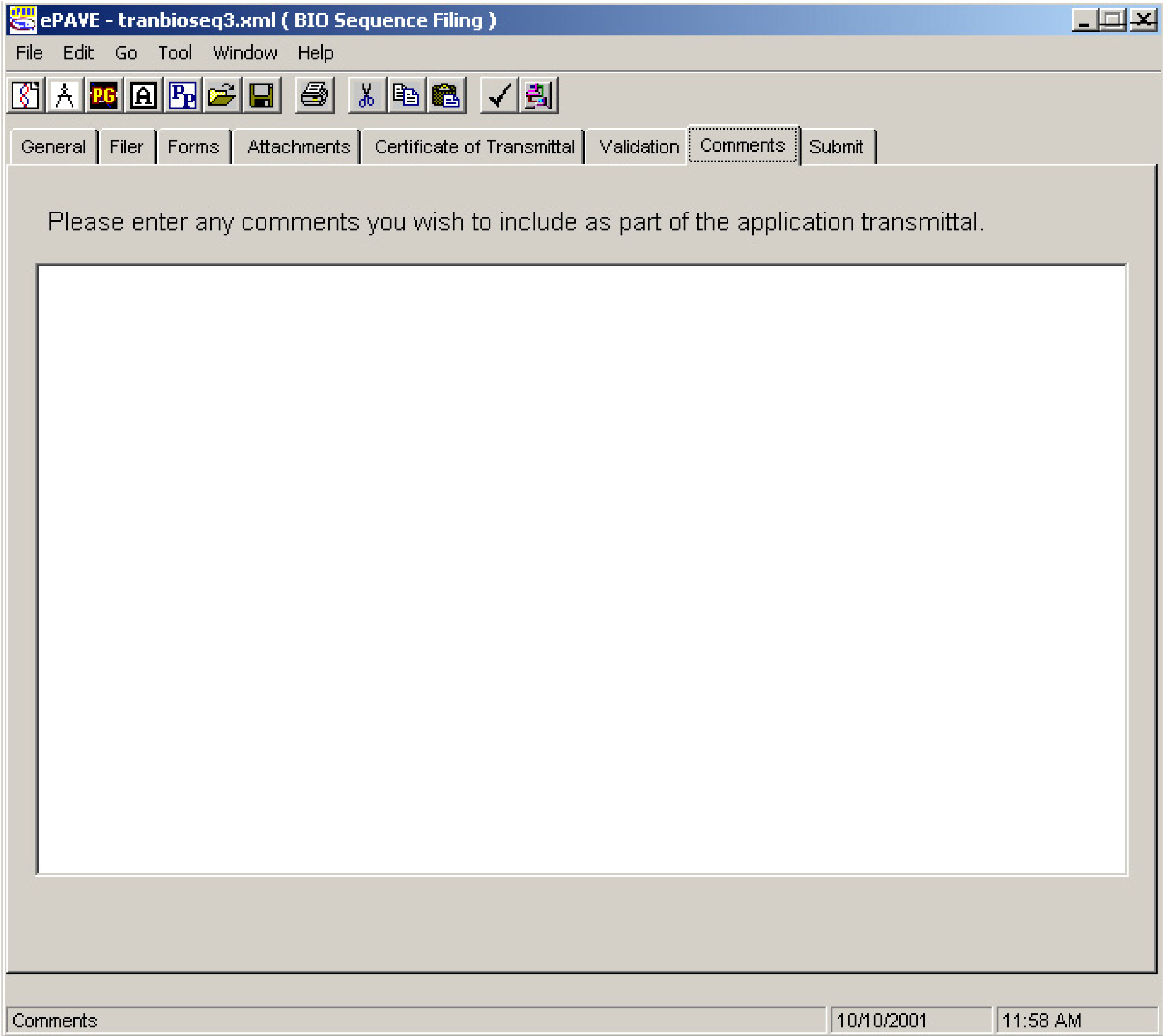


Figure 22: Comments Tab

Fields and Buttons on the Comments Tab

The following table explains the fields and buttons on the **Comments** tab:

Table 7: Fields and Buttons on the Comments Tab

Field or Button	Action or Function	Required or Optional
Comments	Enter any additional comments or information about your submission.	Optional

Submit Tab

The **Submit** tab is where you sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

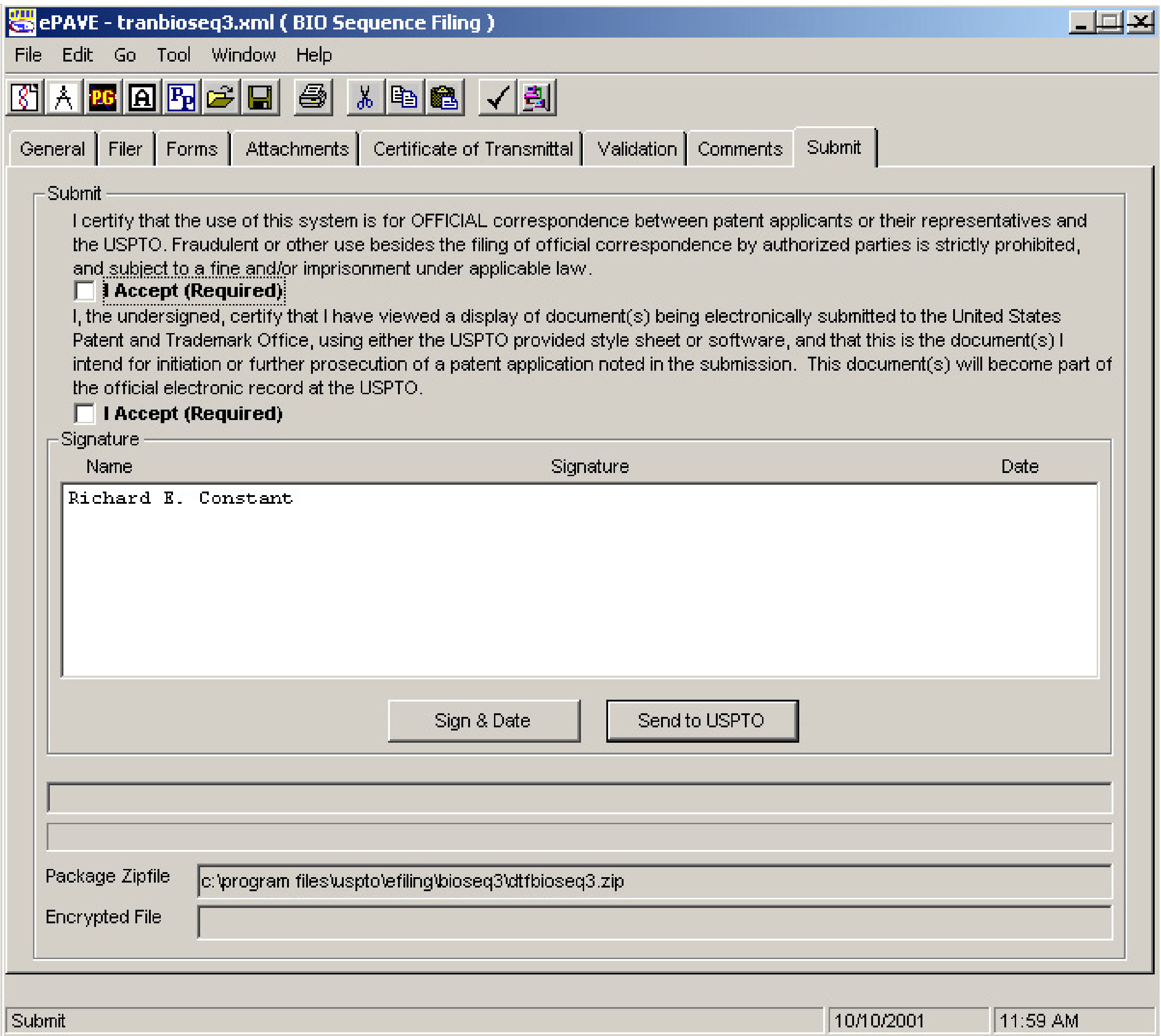


Figure 23: Submit Tab

Fields and Buttons on the Submit Tab

The following table explains the fields and buttons on the **Submit** tab:

Field or Button	Action or Function	Required or Optional
I Accept	You must read each of these two statements and click each of the two corresponding boxes to indicate your acceptance, placing a check mark in each box. To remove a check mark	Required

Field or Button	Action or Function	Required or Optional
	from a box, click the box again.	
Name	This column lists the filers associated with the submission.	
Signature	This column shows the electonic signature of each filer once the filer has signed the submission.	
Date	This column lists the date that each filer signed the submission.	
Sign and Date	Click this button after you select your name from the filers list to sign and date the submission.	
Send to USPTO	Click this button to submit your filing to the USPTO.	
Package Zipfile	This field shows the location of your zipped submission package.	
Encrypted File	This field shows the location of the encrypted submission package.	

Signing Your Submission

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

Use the following procedure to sign the document:

1. Click the **Submit** tab to go to the **Submit** page.

2. Read the first legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

3. Read the second legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

4. Select your filer name in the **Signature** field.

5. Click the **Sign & Date** button.
   The **Signature** dialog box for the filer that you selected opens.

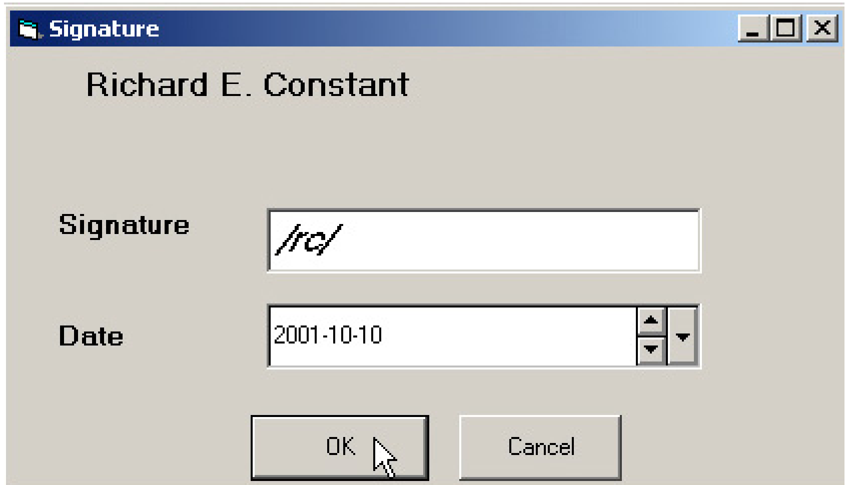


Figure 24: Signature Box with Electronic Signature

6. Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the **Signature** field.

7. Enter the signing date in the **Date** field. You can change the date using the up and down arrows.

8. Click **OK** to accept this signature or click **Cancel** to return to the previous screen.

9. Repeat **Step 4** through **Step 8** for each filer

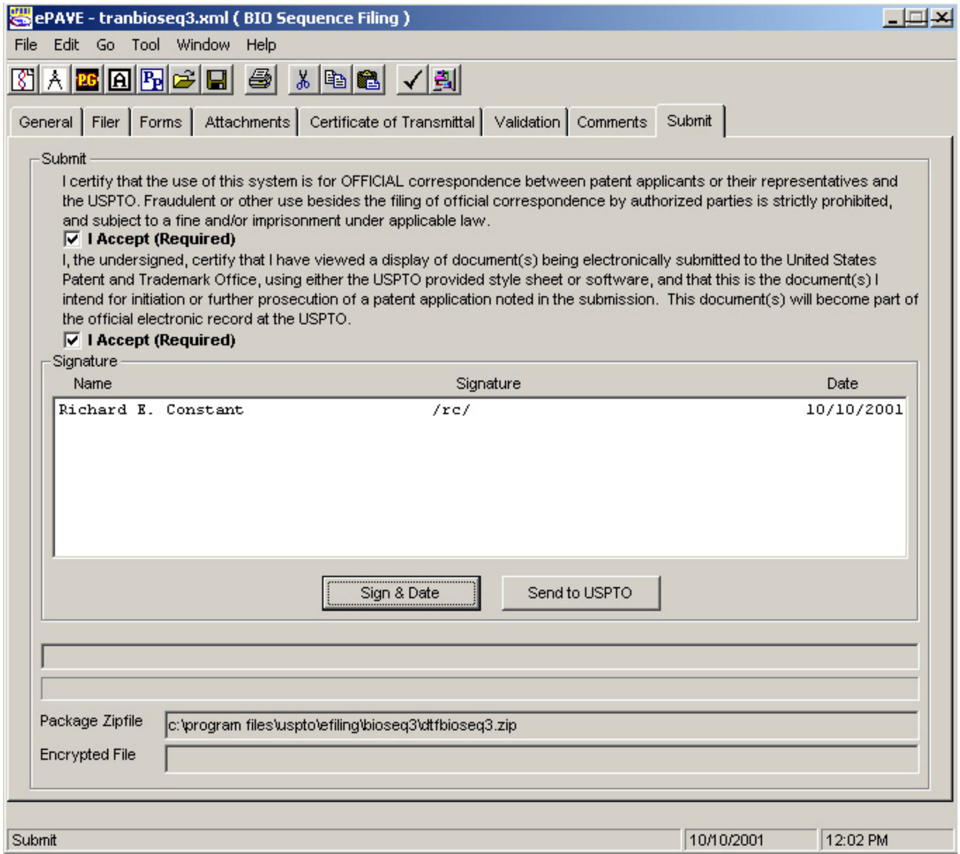


Figure 25: ***Submit Tab Reflecting an E-signature***

Sending Your Filing to the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet.

Use the following procedure to start the submission process:

1. If you are using a dial-up modem, make sure that your Internet connection is still active.

2. Click on the **Send to USPTO** button on the **Submit** tab.

3. If you do not receive any error messages, go to ***Digital Certificate Login on page 63***.
If you receive an **Invalid Submission Warning** message, go to ***Validation Override on page 62***.
If you receive an error message stating that the submission exceeds 10MB, go to ***Filing Large Submissions on CD on page 32***.

Validation Override

The ePAVE software will allow you to override certain validation errors. USPTO strongly discourages overriding validation errors, since this may affect the completeness of your submission and may affect the USPTO's ability to properly match the submission with the appropriate application or Patent.

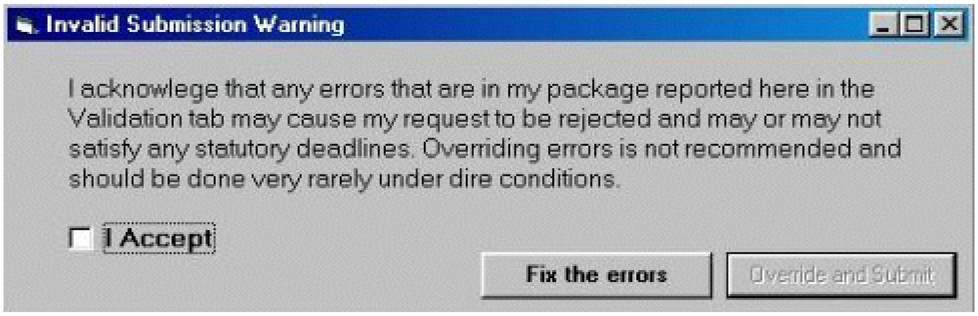


Figure 26: Invalid Submission Warning Override

You can only override certain types of errors. Errors such as a missing serial number, a missing signature, or inappropriate file type extension on an attachment must be corrected prior to uploading.

NOTE: The validation override is not applicable to pre-grant publication submissions.

To return to the ePAVE data entry screens and correct the outstanding errors, use the mouse to click on the **Fix the Errors** button.

Use the following procedure to override the ePAVE validation errors and submit the package to the USPTO:

1. Use the mouse to check the **I Accept** box after reading the warning message text to acknowledge that the warning message has been read. Checking this box will enable the **Override and Submit** button. If you have erroneously checked this box, you can deselect it by clicking on the box again with the mouse.

2. Click on the **Override and Submit** button to continue the submission despite the errors.

3. ePAVE bundles your submission. If successful, you will receive a confirmation message.

Figure 27: Confirmation Message

4. Click **OK**.

NOTE: If you receive an error message stating that your submission exceeds 10MB, see ***Filing Large Submissions Using Compact Discs on page 32*****.**

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the Entrust profile and password that you designated when you created your digital certificate using the USPTO Direct security software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

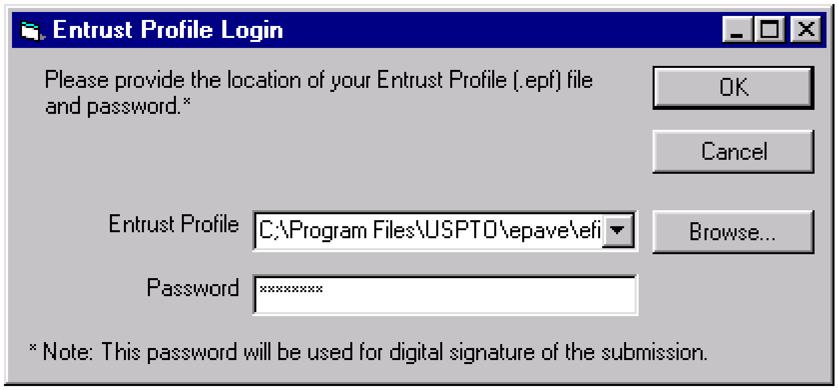


Figure 28: Entrust Profile Login

Use the following procedure to authenticate the digital certificate and send your package:

1. Click the **Browse** button to locate your profile in your directories.

2. Select the profile.
   You return to the Entrust Profile Login dialog box.

3. Enter the password for that profile in the **Password** field.

4. Click **OK**.

Acknowledgement Receipt

After the package has been transmitted to the USPTO, the USPTO server dates and timestamps the package, and uses digital signature technology to verify that the contents of the package have not been altered in transit. The USPTO server also returns information to ePAVE that ePAVE then uses to create your Acknowledgement Receipt—including a unique EFS Transaction ID and the date and time received at USPTO.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site, www.USPTO.gov/ebc, for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for new utility patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility patent application.

If a biosequence listing filed using EFS is unusable, the applicant will be promptly notified by phone, fax, or e-mail depending on the correspondence and application information provided by the applicant to USPTO. If

subsequent filings are unreadable or unusable, the applicant or practitioner is sent a notification as is current practice.

NOTE: For subsequent filings, the application serial number that appears on the receipt is the same application number that you entered on the General tab.

The following figure shows an example of an **Acknowledgement Receipt**:

Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:

transmittal	tranNO2DETECTING.xml 5280 Bytes
declaration	declarationpage1.tif 52308 Bytes
fee-transmittal	NO2DETECTINGfee.xml 1676 Bytes
fee-transmittal	u-feetra.dtd 37433 Bytes
fee-transmittal	e-feetra.xsl 14863 Bytes
specification	Sample4.xml 23427 Bytes
specification	u-specif.dtd 106427 Bytes
specification	specif.xsl 33130 Bytes
specification	fig1.tif 26680 Bytes
specification	fig2.tif 17744 Bytes
specification	fig3.tif 13792 Bytes
bibd-transmittal	NO2DETECTINGapds.xml 2777 Bytes
bibd-transmittal	u-bibdat.dtd 35690 Bytes
bibd-transmittal	e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKKk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO

Figure 29: Acknowledgement Filing Receipt

Fields on the Acknowledgement Filing Receipt Tab

The following table explains the fields on the **Acknowledgement Filing Receipt** tab:

Table 8: Fields on the Acknowledgement Filing Receipt Tab

Field	Action or Function
Serial Number:	This field shows the application (serial) number that you either entered on the **General** tab for biotechnology sequence listings and pre-grant publication submissions, or that was returned to ePAVE from the EFS server after successful submission of a new utility Patent application filing.
First Named Inventor:	This field shows the name of the first named inventor that you entered on the **General** tab.
Title of Invention:	This field shows the title of the invention that you entered on the **General** tab. You cannot enter a mathematical formula or chemical formula as part of the title of invention.
File Listing:	This field shows an itemized listing of all files that were included in the submission package sent to the USPTO, including the file size.

Field	Action or Function
EFS ID:	This field shows the unique ID number that the USPTO server assigned to your submission.
File Size:	This field shows the size of the encrypted and zipped submission package file that the USPTO received.
Timestamp:	This field shows the date and time the USPTO officially received the package, as indicated on the EFS server timestamp.
Upload Status:	This field shows the status of your upload. A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity is not verified as intact, an error message is shown in this field.
Response File (.rsp)	This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

Creating a Provisional Patent Application Submission

Use the following procedure to begin creating a Provisional Patent Application submission:

1. Launch ePAVE by clicking on the **ePAVE** icon on your desktop, or by double-clicking **ePAVE.exe**.
ePAVE launches and the ePAVE window appears on your computer.

2. Go to the **File** menu and select **New**.
A submenu listing the types of submissions that you can create appears.

3. Choose Provisional Patent Application from the submenu.
The **New Submission** window appears.

4. Enter the name that you want to use to identify the submission folder for your new submission in the **Submission Folder** field. You can also specify the location of this folder by browsing in the directory on the left side of the window.

The ePAVE software will automatically save files for this submission in this folder. This folder may include the XML (eXtensible Markup Language) transmittal document, a fee XML document, an application data XML document, an assignment XML document, an error log containing any validation errors, the Acknowledgment Receipt received from the USPTO, and both an encrypted and zip file containing the package of the entire submission you will send to the USPTO.

NOTE: You can not begin creating a new submission unless you have created a new folder for that submission and related documents.

5. Click **OK**.
ePAVE creates a new submission folder where all forms and attachments related to this submission are stored, and opens the tab screens that you will use to complete your Provisional Patent Application submission.

6. Complete the required fields on each of the tab screens that are shown in the ePAVE window—**General**, **Filer**, **Forms**, **Attachments**, **Certificate of Transmittal**, **Validation**, **Comments**, and **Submit**.
For details about each of these screens, see the following sections.

NOTE: While many of the components of a provisional patent application submission are similar to a new utility application, provisional patent applications are unlike new utility application in that they are not published.

General Tab

The **General** tab is the first screen that you complete when authoring a provisional patent application submission. Use the following procedure to complete the **General** tab:

1. Enter your email address in the **Email address** field.

2. Complete the fields in the **Application Data** section of the screen. For more information about these fields, see *Fields and Buttons on the General Tab on page 67*.

Fields and Buttons on the General Tab

The following image shows the **General** tab.

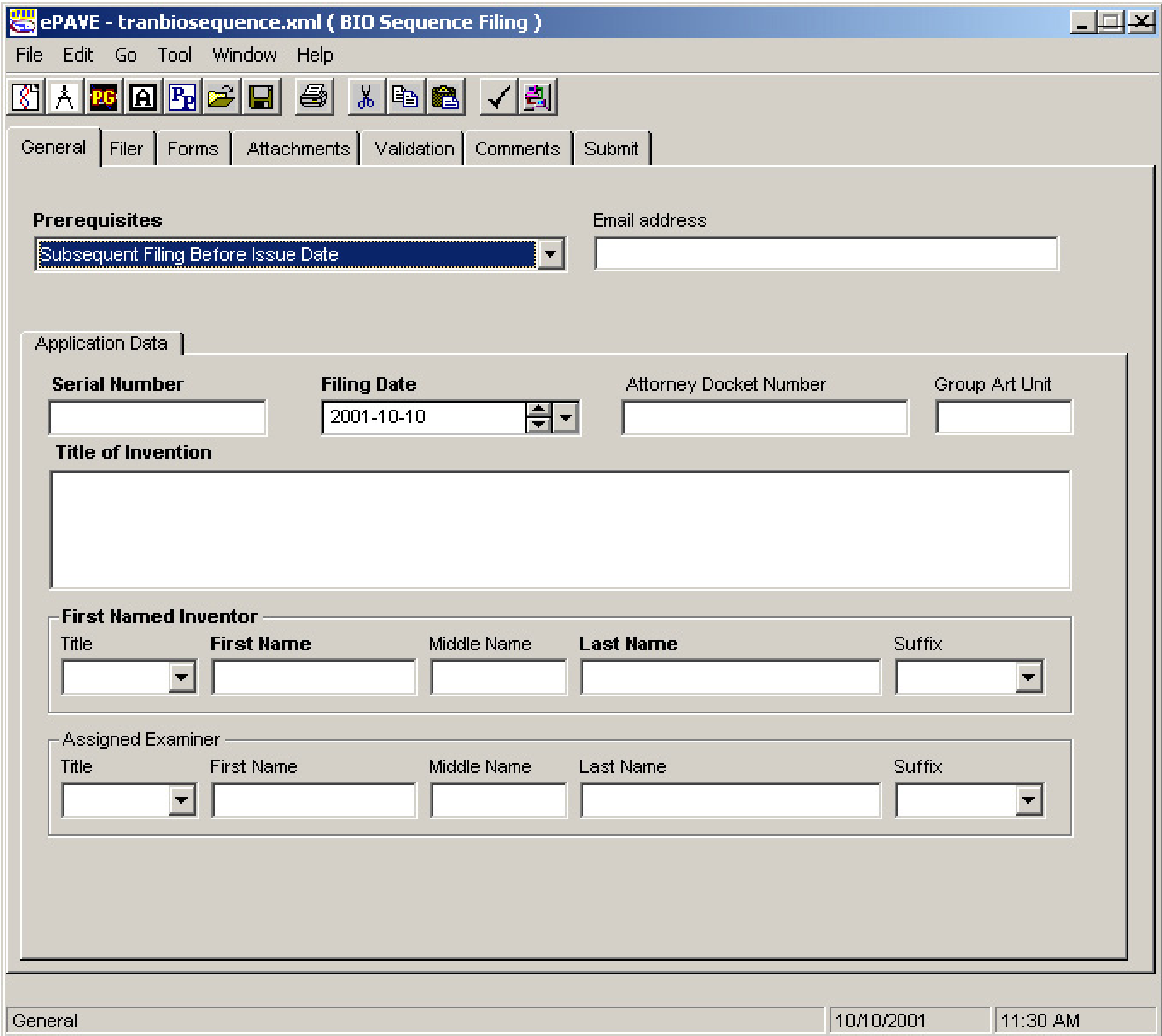


Figure 30: General Tab for Provisional Application

The following table describes the fields that are available on the **General** tab:

NOTE: The first cursor on the General tab for a patent provisional application will appear in the Email Address text field since this is the starting point for entering application information on this tab screen. The Prerequisites selections on the General tab screen do not apply to a new utility patent application filing or provisional patent application submission.

Table 9: Fields on the General Tab

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail)address that the	Optional

Field	Action	Required or Optional
	USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	
Serial Number	This field does not apply to provisional patent application filings	N/A
Filing Date	This field does not apply to provisional patent application filings	N/A
Attorney Docket Number	Enter the reference number that you want to use to identify your application. This number is not assigned by the USPTO, and can be any number of your choice.	Optional
Group Art Unit	This field does not apply to provisional patent application filings	N/A
Title of Invention	Enter the full title of the provisional patent application for which you are submitting this filing. Include all spaces and punctuation.	Required
First Named Inventor	Enter the name of the inventor that is listed first in the declaration of the provisional patent application for which you are filing this submission.	Required
Title	Enter a courtesy title for the First Inventor, such as Mr., Mrs., Ms., Dr., etc.	Optional
First Name	Enter the first or given name of the First Inventor.	Required
Middle Name	Enter the middle name of the First Inventor.	Optional
Last Name	Enter the family or surname of the First Inventor.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the First Inventor.	Optional
Assigned Examiner	This field does not apply to provisional patent application filings	N/A
Title	This field does not apply to provisional patent application filings	N/A
First Name	This field does not apply to provisional patent application filings	N/A
Last Name:	This field does not apply to provisional patent application filings	N/A

Filer Tab

The following figure shows the **Filer** tab, which is the screen where ePAVE requests information about the person or entity that signs the transmittal.

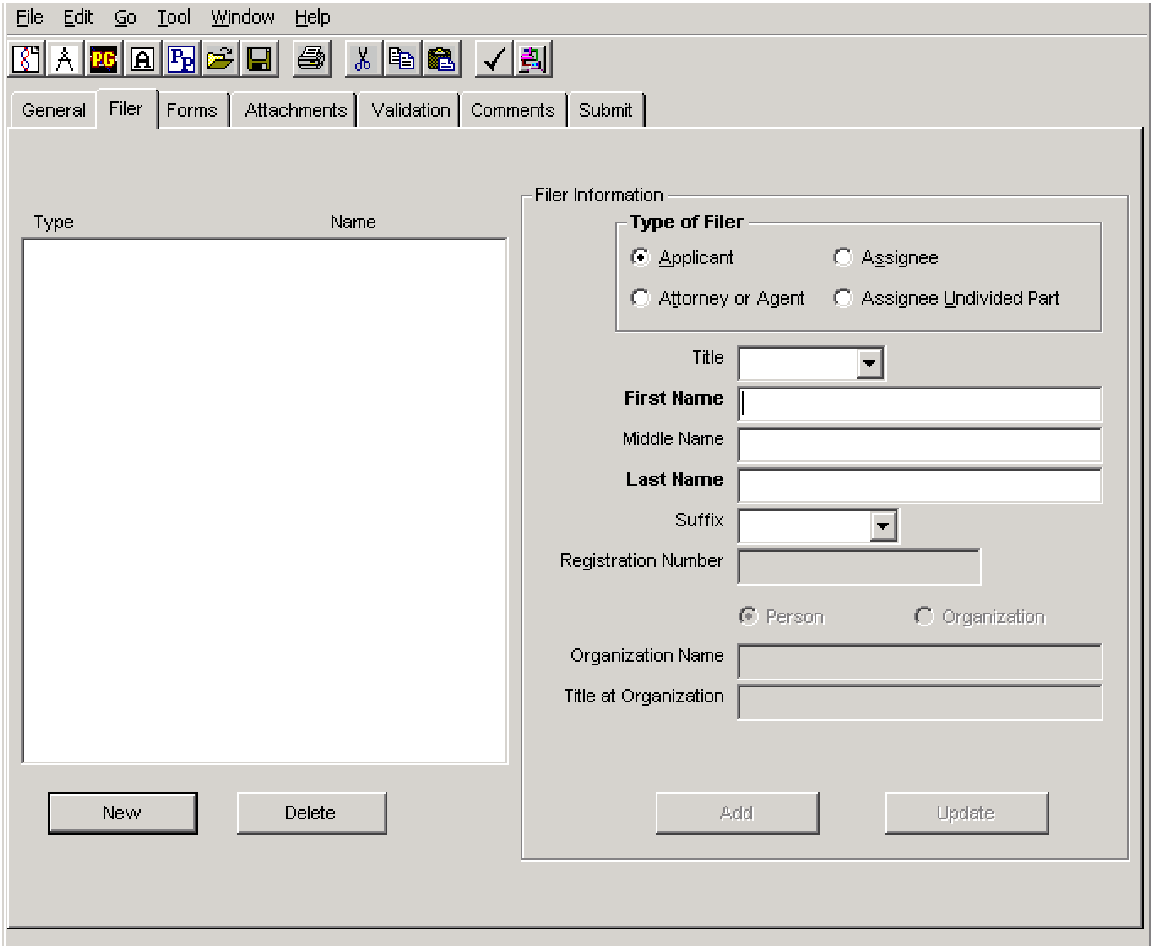


Figure 31: Filer Tab

The fields on this screen vary depending on the type of filer that you specify. The filer information that you enter on this screen becomes part of the transmittal form that ePAVE automatically produces as an XML form document.

In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations who sign the transmittal on behalf of another party. If you are filing as an organization, you must also provide the Organization name and the Title at Organization of the person signing the application.

The following combinations of filers are acceptable: 1 or more attorney(s) or agent(s), 1 assignee only, 1 or more applicant(s) and assignee(s) of undivided part.

Fields and Buttons on the Filer Tab

The following table lists the fields and buttons on the **Filer** tab, and also describes the information that you must enter into each field and the function of each button.

Table 10: Fields and Buttons on the Filer Tab

Field or Button	Action	Required or Optional
New	Click this button to clear all of the fields on the **Filer** screen and begin creating a new filer.	N/A
Delete	Click this button to delete a filer after you highlight that filer in the list of filers.	N/A
Applicant	Click this button to identify the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.	Required - you must select one of these radio buttons.
Assignee	Click this button to identify the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Attorney or Agent	Click this button to identify the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).	
Assignee Undivided Part	Click this button to identify the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the filer.	Optional
First Name	Enter the first or given name of the filer.	Required
Middle Name	Enter the middle name of the filer.	Optional
Last Name	Enter the family or surname of the filer.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the filer.	Optional
Registration Number	Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s).	Optional
Person	Select this option if the assignee filing this transmittal is a person.	Required only when the Filer is identified as an Assignee. You must select either **Person** or **Organization**.
Organization	Select this option if the assignee filing this transmittal is a business entity or non-profit institution.	
Organization Name	Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution.	**Organization Name** and **Title at**

Field or Button	Action	Required or Optional
Title at Organization	Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization.	**Organization** are required fields when the **Assignee** is an organization.
Add	Click this button to add the new filer after you have completed the fields on the **Filer** screen.	
Update	Click this button to update the **Filer** information.	

Creating a New Filer

Use the following procedure to create a new **Filer**:

1. Click the **Filer** tab to go to the **Filer** screen.
ePave opens the **Filer** screen.

2. Select the type of filer by clicking the appropriate radio button in the **Type of Filer** section.
ePAVE deactivates any fields that are not required for the type of filer that you have selected.

3. Complete the remaining fields in the **Filer Information** section. For more information about these fields, see *Fields and Buttons on the Filer Tab on page 42.*

NOTE: If the new filer is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons to indicate whether this assignee is an actual person or a business or non-profit entity.

4. Click the **Add** button.
The filer is added to the list of filers shown on the left side of the screen.

5. Repeat **Step 2** through **Step 4** for any additional filers.

The following figure shows the **Filer** tab after a new filer has been added.

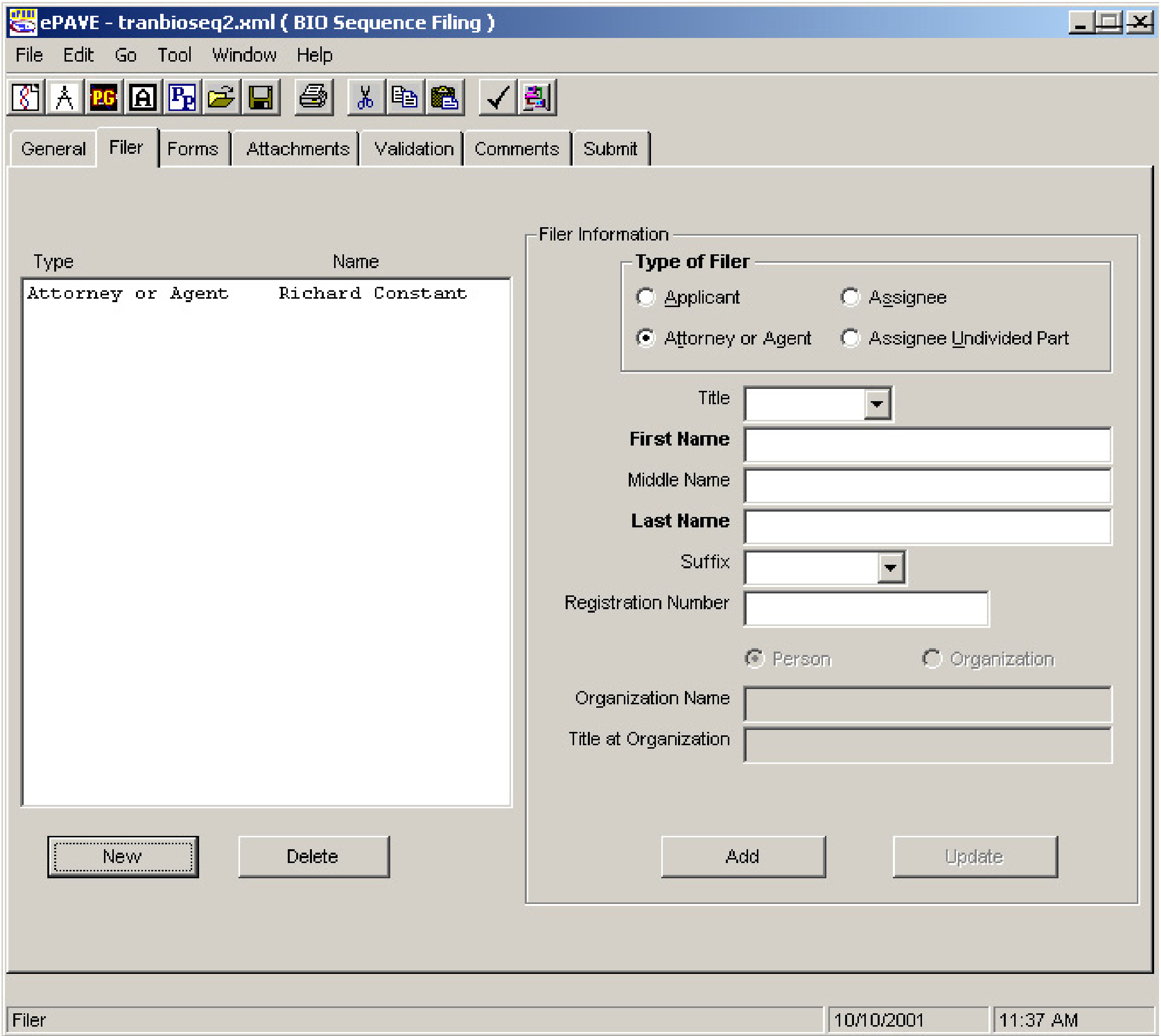


Figure 32: Updated Filer Tab

Changing Filer Data

ePAVE allows you to change the filer information for filers that you have already added. Use the following procedure to change filer information:

1. Go to the **Type/Name** field, and click the name of the filer that you want to edit. The current information for the selected filer appears in the **Filer Information** fields.

2. Enter any changes in the appropriate fields.

3. Click the **Update** button to update the filer information with your changes.

Deleting a Filer

ePAVE allows you to remove filers from the list of filers. Use the following procedure to remove a filer:

1. Click the name of the filer that you want to delete in the filers list, shown in the **Type/Name** field on the left side of the screen.

2. Click the **Delete** button. The filer is removed from the list of filers, and all of the information about this filer is deleted.

Forms Tab

The following figure shows the **Forms** tab, which has two sections—**Form Description and Usage** and **Simple Form List**. The **Form Description and Usage** section displays text that describes the selected form and its intended use. The **Simple Form List** section of the screen shows all forms that are available for electronic filing in the **Available Forms** list, and shows forms in the EFS submission folder that you have selected to send to USPTO during your electronic filing transaction in the **Selected Forms** list.

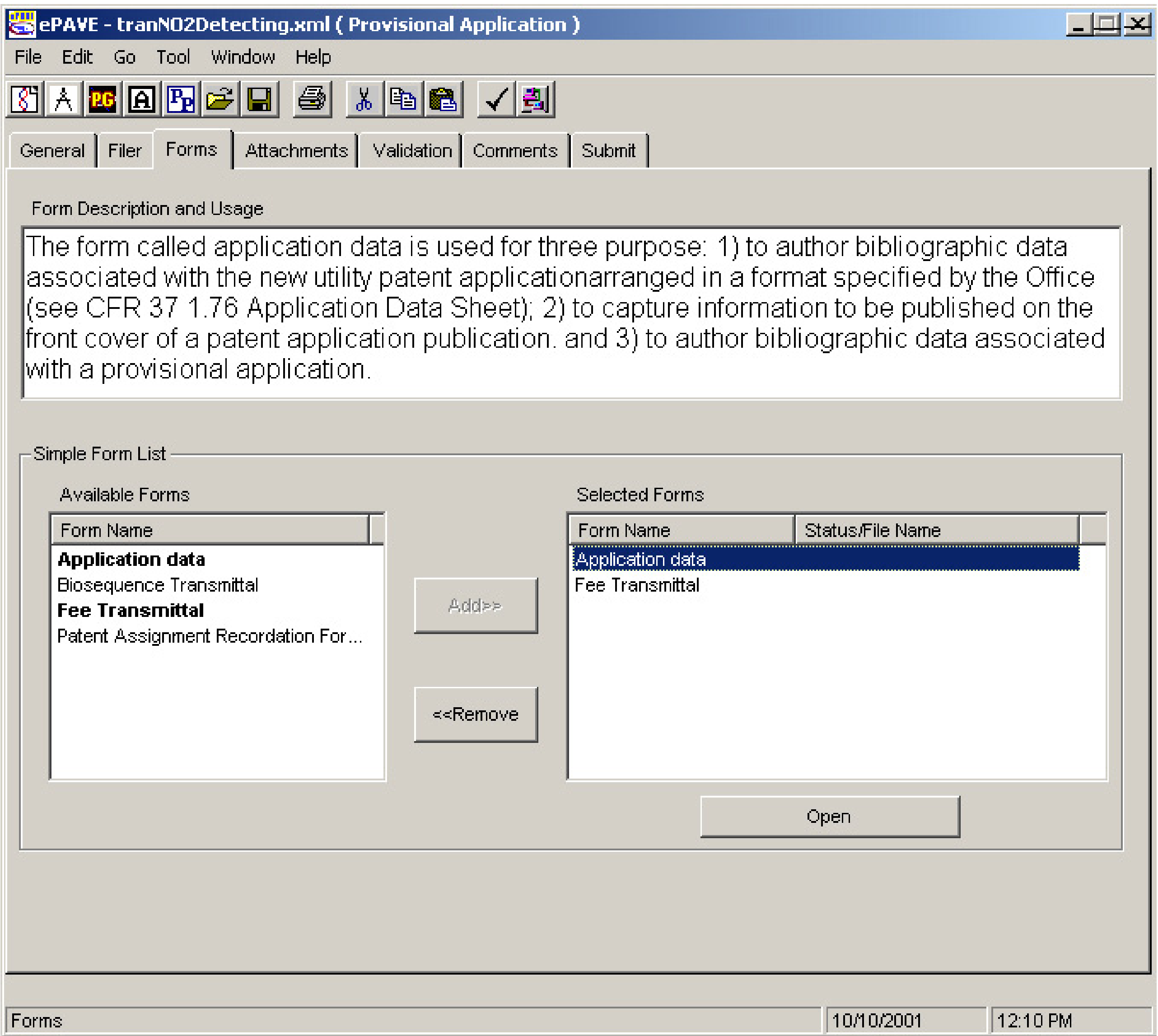


Figure 33: Forms Tab

Since you are filing a provisional application, the **Application Data** and **Fee Transmittal** forms are required and are therefore shown in bold letters in both the **Available Forms** and **Selected Forms** lists. When a form title appears in bold letters, it indicates that the form is required for the type of patent application submission electronic filing you are creating. When you click on the name of a form in either the **Available Forms** list or **Selected Forms** list, a description of the form and its usage appear in the **Form Description and Usage** text display box.

Fields and Buttons on the Forms Tab

The following table lists the fields and buttons on the **Forms** tab, and also describes function of each field and button.

Table 11: Field and Buttons on the Forms Tab

Field or Button	Action or Function	Required or Optional
Form Description and Usage	This field displays a description of a form when you highlight the form in the **Selected Forms** field or the **Available Forms** field.	N/A
Available Forms	This field lists all of the forms that are available for the type of application you are creating. Click on the name of a form to view a description of the form in the **Form Description and Usage** field.	N/A
Selected Forms	This field lists all of the forms that you have selected from the **Available Forms** list, and also lists any forms that are required for the type of application you are submitting.	N/A
Add	Click this button to add a form listed in the **Available Forms** list to the **Selected Forms** list.	N/A
Remove	Click this button to remove a form from the **Selected Forms** list.	N/A
Open	Click this button to open the form that you have highlighted in the Selected **Forms** list.	N/A

Adding a Form

Use one of the following procedures to add a form to the **Selected Forms** list:

1. Click on the name of the form that you want to add in the **Available Forms** list.

2. Click the **Add** button.
   The form is added to the **Selected Forms** list.

   OR

1. Double-click the name of the form that you want to add in the **Available Forms** list.
   The form is added to the **Selected Forms** list.

Completing an Application Data Form

If you want to open an **Application Data** Form, highlight the name of the form in the **Selected Forms** field and click the **Open** button. The window that opens shows the following screens: **Application Details**, **Inventors**, and **Representative**.

After you enter the information requested on each **Application Data** screen, close the form by clicking the **X** in the upper right hand corner of the screen or by selecting the **X** icon on the toolbar. When closing the screen you will be prompted by a dialogue box to save the form. After the program successfully saves the document you will be automatically returned to the **Forms** screen.

The completed **Application Data** and **Fee Transmittal** XML forms will automatically be attached to the submission. If an **Assignment Recordation** form has been authored it too will be automatically attached to the submission. These forms are listed on the **Attachments** screen with the associated directory path for each XML form.

Application Details Tab

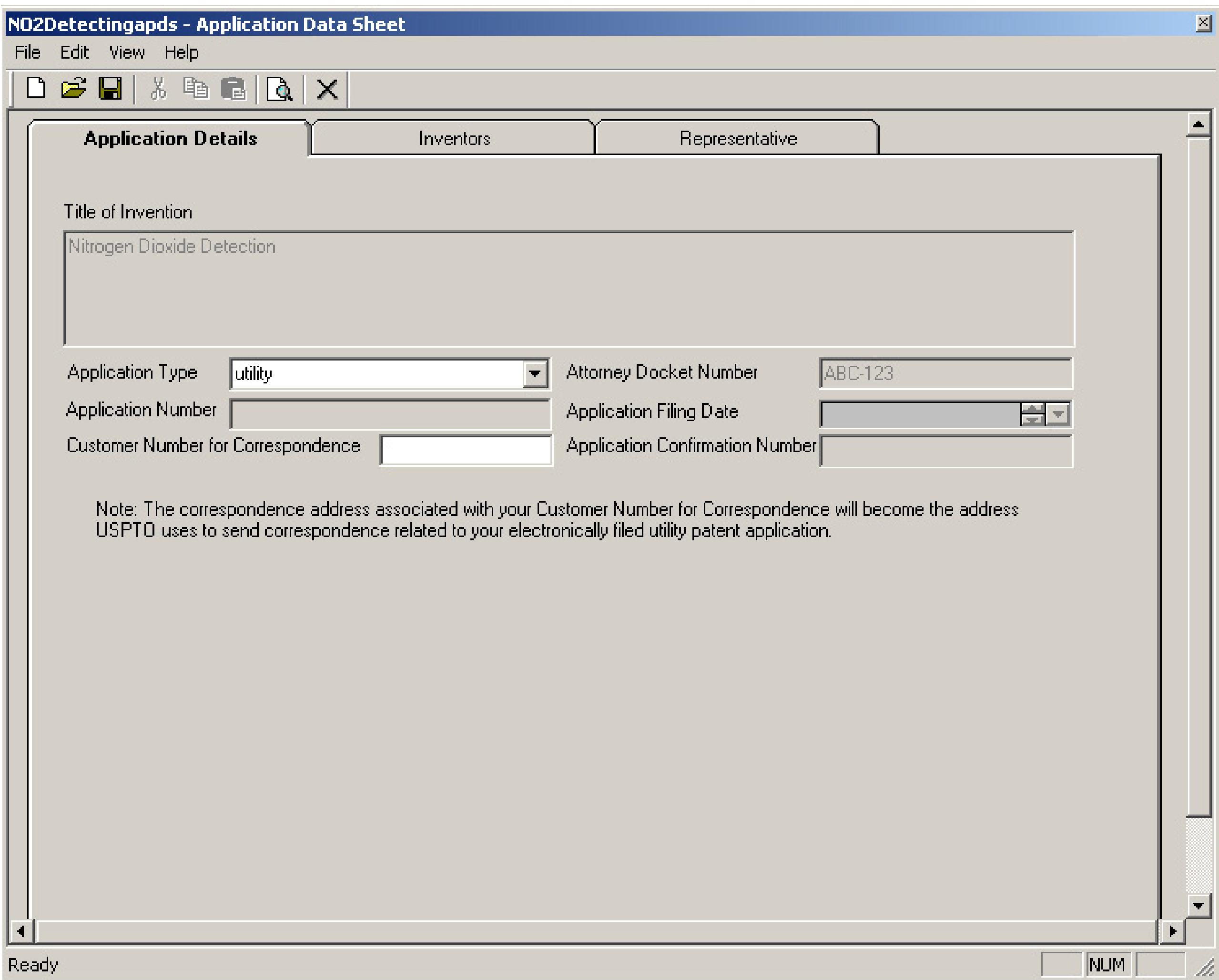


Figure 34: Application Data Form Tab - Application Details

The Title of the Invention as you entered it in the General Tab will appear in the Title of the Invention.

1. Select the type of submission you want to make from the drop down list in the Application Type field. The selected filing should be either utility or plant.

2. Enter the Attorney docket number.

3. Enter your Customer Number in the Customer Number for Correspondence. You must have a Correspondence Customer Number to make an electronic submission. You identify a customer number when you request a Digital Certificate. For information on obtaining a Customer Number, visit the Patents Electronic Business Center at www.uspto.gov.

A detailed description of each text field can be found in Appendix A of this user manual.

Inventors Tab

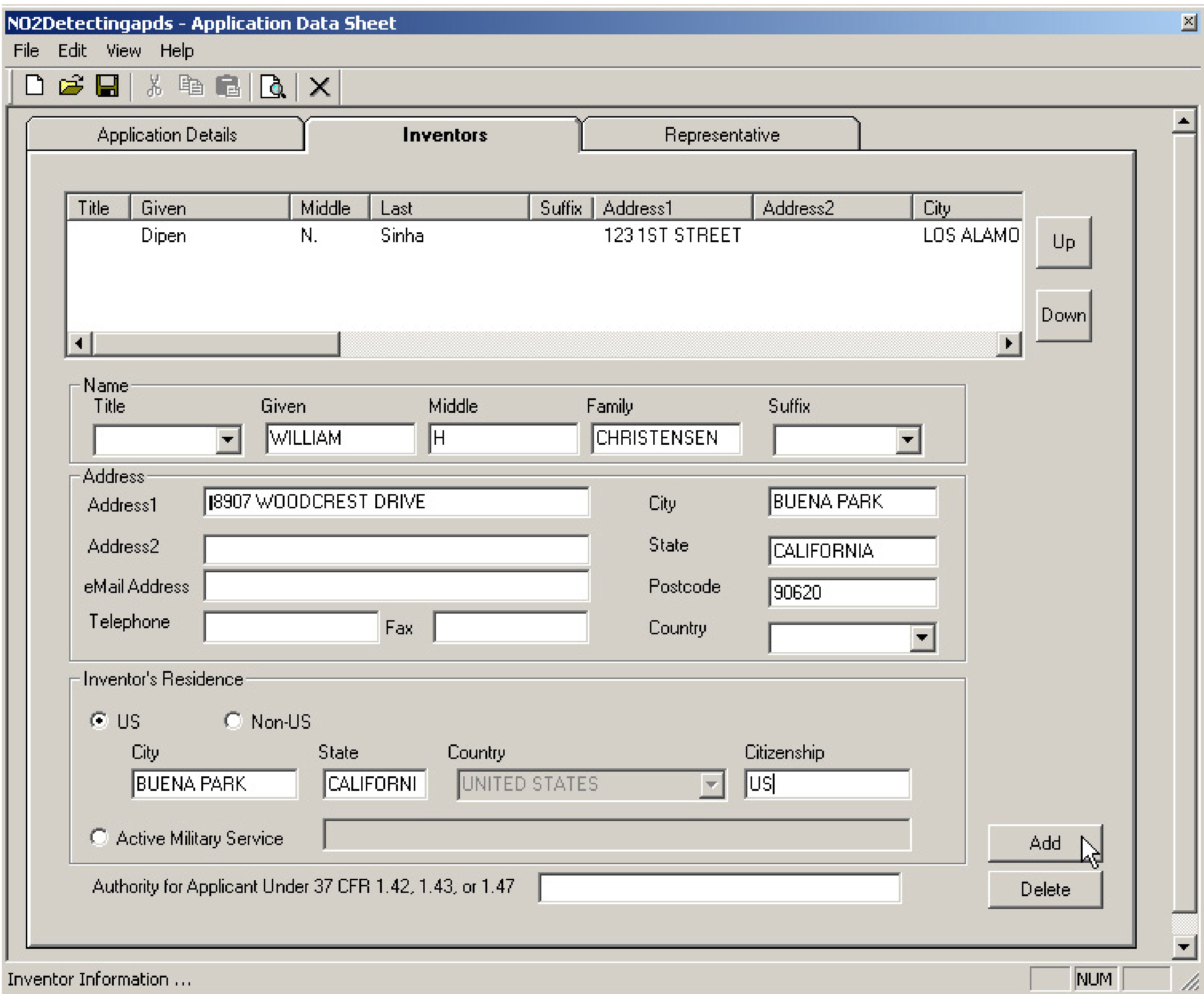


Figure 35: Application Data Form Tab - Inventors

To input First Inventor information:

1. Enter the name of the inventor that is listed first in the declaration of the Patent application for which this filing is being submitted (Required)

2. Enter the inventor's address.

3. Enter the inventor's residence (city, state, country) and citizenship. (Required)

4. Press the Add button and that inventor's name and address information will appear in the top field.

5. After entering the information for the first named inventor please repeat for each named inventor as appearing on the declaration of the Patent application.

In some circumstances an authorized individual may file an application for an inventor. These circumstances are covered by 37 CFR 1.42, 1.43, and 1.47. If this is such an instance, enter the necessary information indicated by rule.

To Delete an Inventor from the application data sheet, highlight the inventor's name and address in the top field, and press the **Delete** button.

To reorder the list of inventors, use the **Up** and **Down** buttons. Select one of the inventor's names in the list, then select **Up** to place that inventor's name to the top of the list or select the **Down** button to place the name currently listed first in the list in a lower position.

Representative Tab

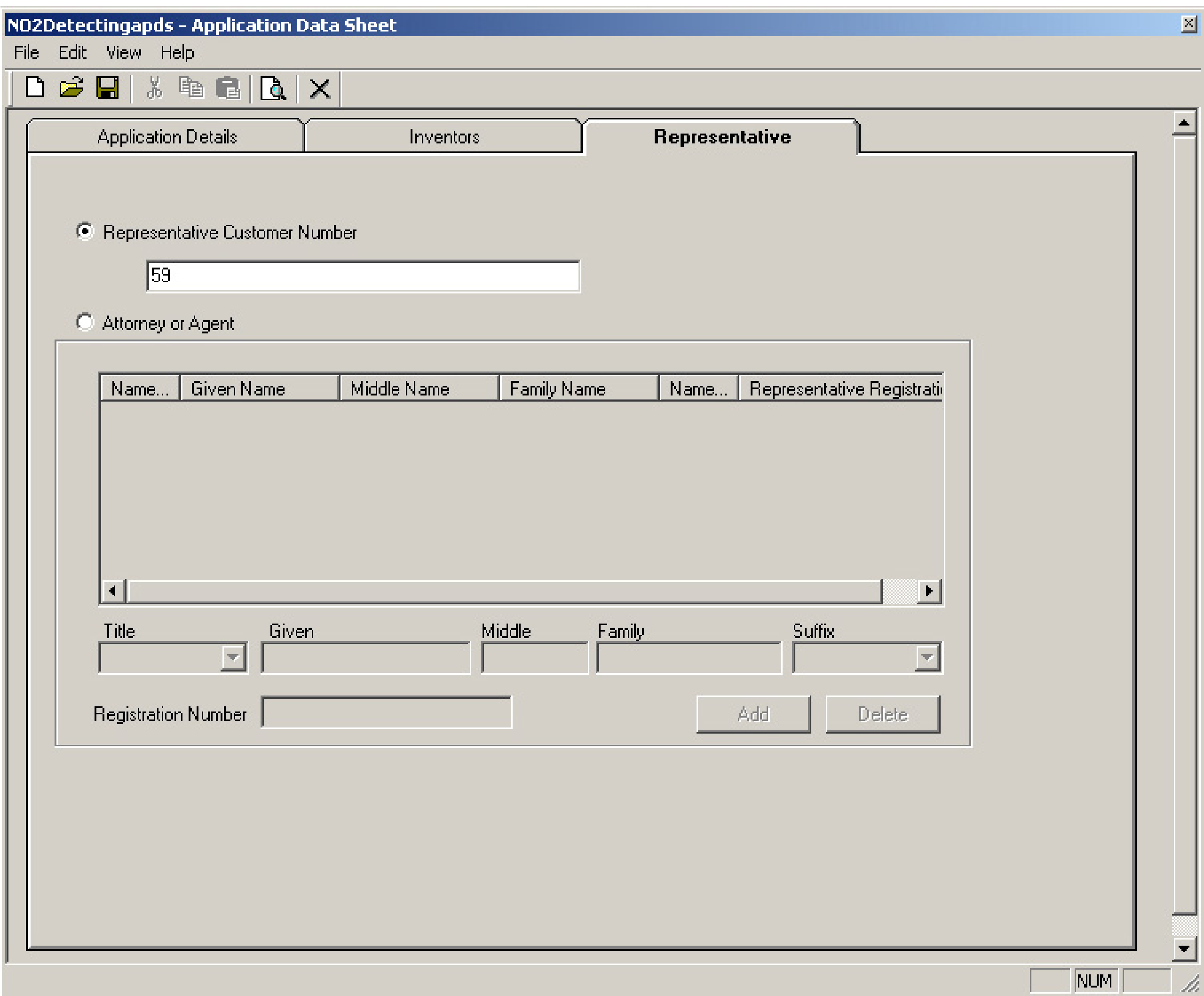


Figure 36: Application Data Form Tab - Representative

1. Click the **Representative Customer Number** (see Appendix A for definition) radio button and enter the customer number associated with the submission being filed in the field.
   OR
   If the representative is an attorney or agent, click the **Attorney** or **Agent** radio button and enter the attorney or agent name information in the name fields. Insert the attorney or agent registration in the **Registration Number** field.

2. Click the **Add** button to add that name and registration to the list of representatives.

To delete an attorney or agent from the list of representatives, highlight the name and click the **Delete** button.

Completing a Fee Transmittal Form

Use the following procedure to complete a **Fee Transmittal** form:

1. Click on Application Data in the Selected Forms list.

2. Click the Open button.

Filer Status Tab

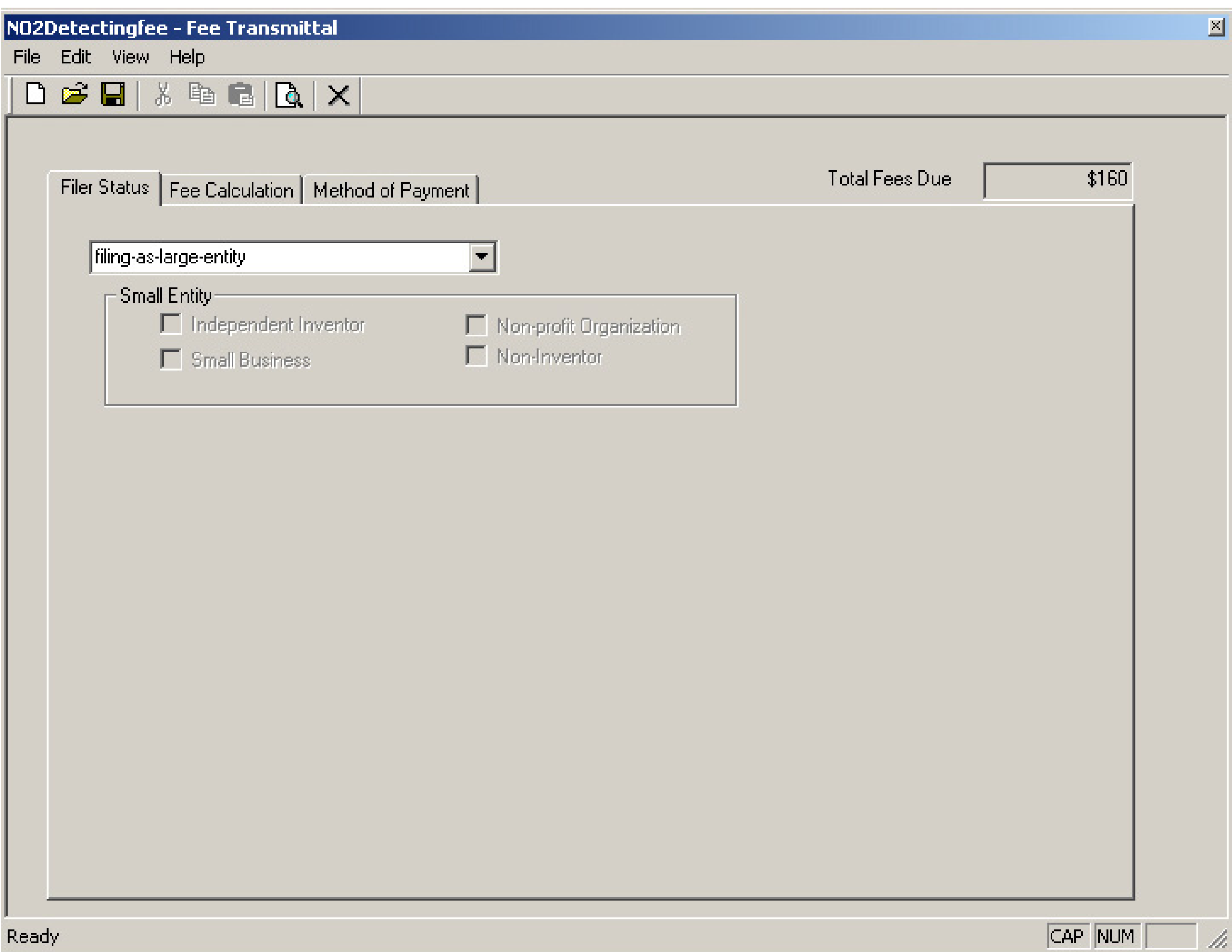


Figure 37: Fee Transmittal Screens - Filer Status Tab

Select the filer status from the drop down list. The Filer Status is defined by the classification of the person or entity filing the Patent. This is important, as it determines which schedule to use for fee calculation for provisional applications. A small entity is either an independent inventor, a small business, a non-profit organization, and/or a non-inventor.

Select either **Filing-as-small-entity** or **Filing-as-large-entity**.

If filing-as-small-entity is selected, two more pieces of information are required. At the bottom Filer Status drop-down box are 4 checkboxes. Select any or all of the ones that apply to the filer.

Fee Calculation Tab

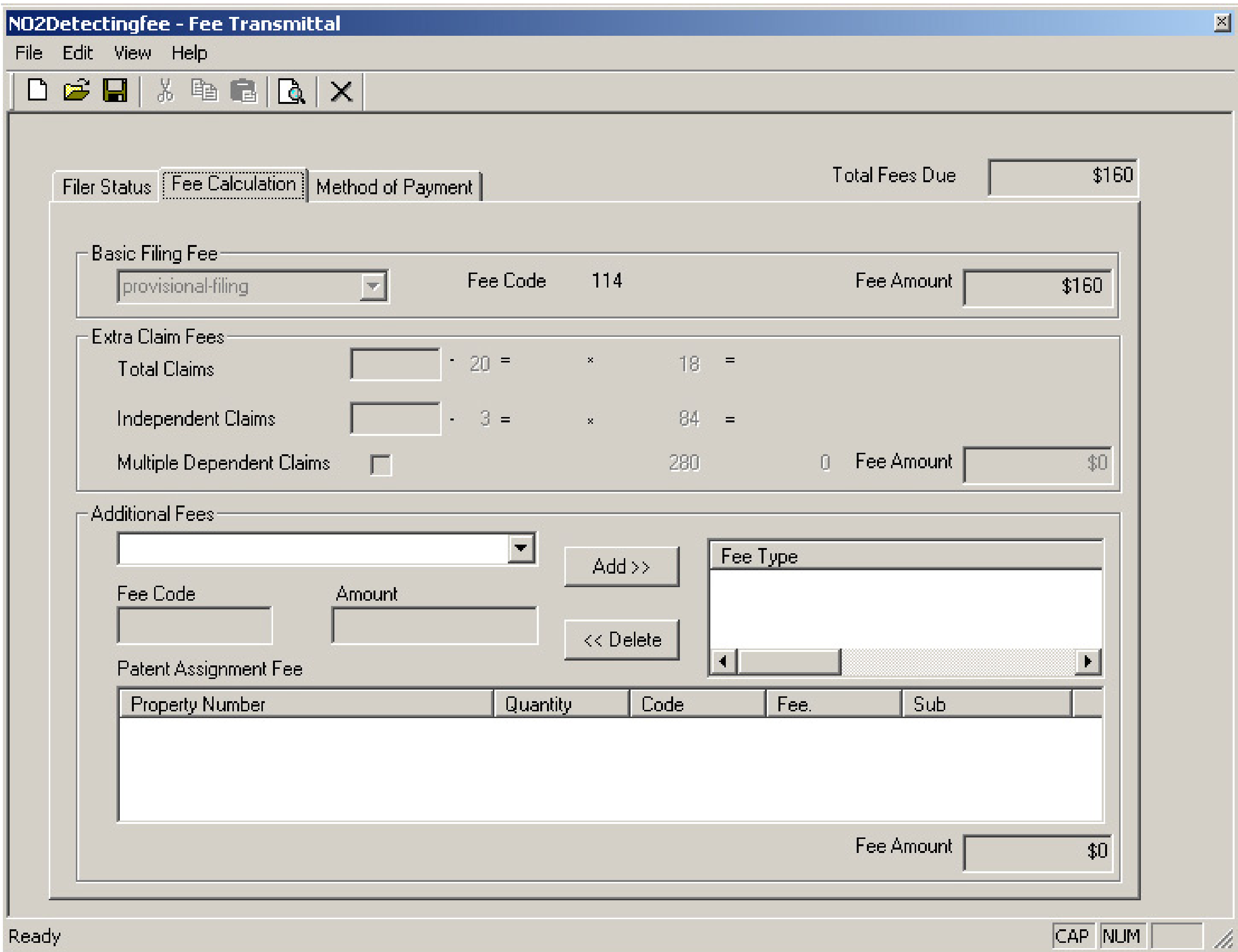


Figure 38: Fee Transmittal Screens - Fee Calculation Tab

The Fee Calculation tab is where the fees associated with the submission are calculated.

If a new application is being filed, select new utility from the Basic Filing Fee drop down list. The top most Fee Amount field is the Basic Filing Fee, a non-editable field where the value is determined by the Fee Type selected on the previous tab. For a provisional application filing, you may pay either a small entity fee or a large entity fee as applicable.

Next are the Extra Claim Fees. Up to 20 Total Claims and 3 Independent Claims can be requested for no additional fee. However, each additional claim or Independent Claim is charged to the total fee due, based once again on the entity size of the filer. Finally, a Multiple Dependent Claims checkbox is provided. An additional fee is charged if this is selected. Do not insert any information in these fields for pre-grant publication submissions.

Below the Extra Filing Fee section is the Additional Fees section. Select any additional fees required such as the processing fee for voluntary publication or the publication fee for any pre-grant publication submission from the drop down list. Click on the Add button to indicate that selected fee is due. The Fee code, amount of the fee and a description will appear in those fields. Repeat for each additional fee that is required.

To delete a Fee type, highlight that Fee in the Fee Type field and click **Delete**.

Method of Payment Tab

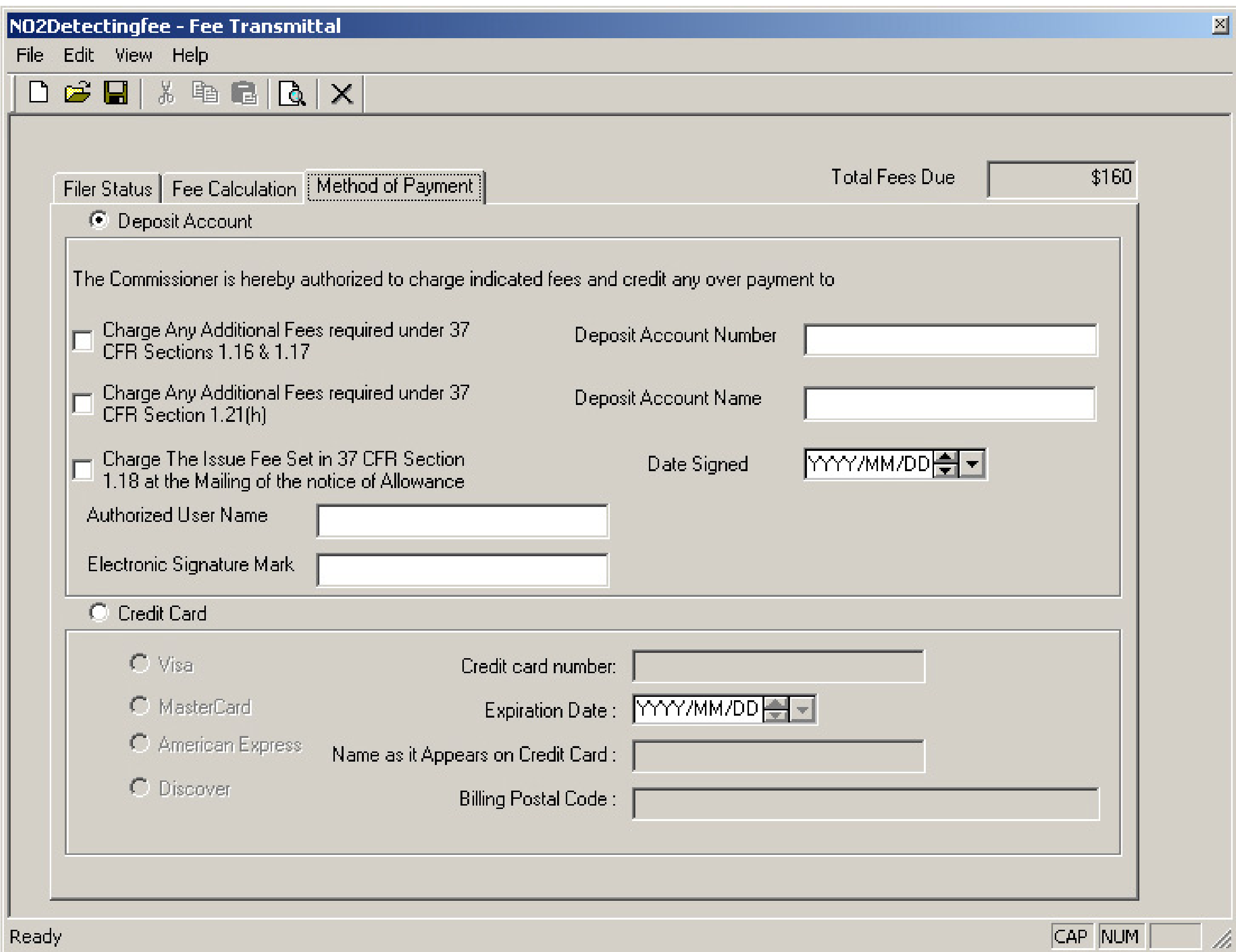


Figure 39: ***Fee Transmittal Screens - Method of Payment Tab***

1. Select the payment method by clicking either the **Deposit Account** or **Credit Card** radio button. This provides the information the USPTO needs to collect the applicable fees for the Patent submission.

2. If you select **Deposit Account** as your payment type you may authorize USPTO to charge additional fees (as allowed by CFR sections cited next to each button) not calculated on this sheet at the time of submission by checking the checkboxes provided.

3. Enter Deposit Account Number & Name of the account that is to be charged by the USPTO. These fields are required for Deposit Account transactions.

4. Enter the name of the individual who is authorized to sign for use of deposit account, as well as the electronic signature of the authorized user in the fields provided for that data.

5. If you select **Credit Card** payment, indicate the card type by clicking on the radio button associated with it.

6. Enter the Credit card number, expiration date, the Name on the Credit Card and the Billing Address in the fields provided. The Deposit Account or Credit Card will be charged the amount that appears in the Total Fees Due field in the upper right-hand corner of the screen.

The Fee XML file will be created when the Fee Tab is closed.

Removing a Form

Use the following procedure to remove a form from the **Selected Forms** list:

1. Click on the name of the form in the **Selected Forms** list that you want to remove.

2. Click the **Remove** button.
   The form is removed from the **Selected Forms** list.

You can remove any form listed in the Selected Forms box from the submission, but if you remove a recommended/required form you may cause validation errors.

If you have already saved the form, which automatically attaches it to the electronic submission package, you must also remove the form from the electronic package after you remove it from the Selected Forms list. To completely remove the form from the submission, select the Attachments tab, select the form again, and then click the REMOVE button. For more information about this procedure, see ***Removing a File on page 50.***

The forms listed in the Available Forms text box are Application data which will assist you in authoring XML documents such as the application data form as defined in 37 CFR 1.76 (Application Data Sheet); a fee transmittal, a Patent Assignment Recordation document for a patent provisional application and the Biosequence Transmittal for a CRF Biosequence Listing filing.

Note: The Application Data sheet is the equivalent of a provisional application.

When a form is highlighted in the Selected Forms field, you may click the **Open** button. ePAVE will then assist you in preparing an XML form for inclusion in your submission by opening another set of tab screens where you can enter the information appropriate to the submission you are electronically filing.

Assignment Recordation Form

The EFS 4.1 release that includes new ePAVE software allows you to submit single or multiple assignment documents for electronic submission. You can file these assignments along with a new utility patent application, a patent provisional application, or as a subsequent filing. Subsequent assignment filings must identify the patent property(s) being assigned. A property tab has been added to the assignment form for subsequent assignment filings. Subsequent assignment filings provide the capability to submit related or unrelated assignment coversheets. All multiple coversheets will be treated as individual assignment documents after receipt at the Assignment Services Division.

To submit an electronic assignment for recordation, you must complete the Assignment Coversheet Form required for an electronic assignment recordation.

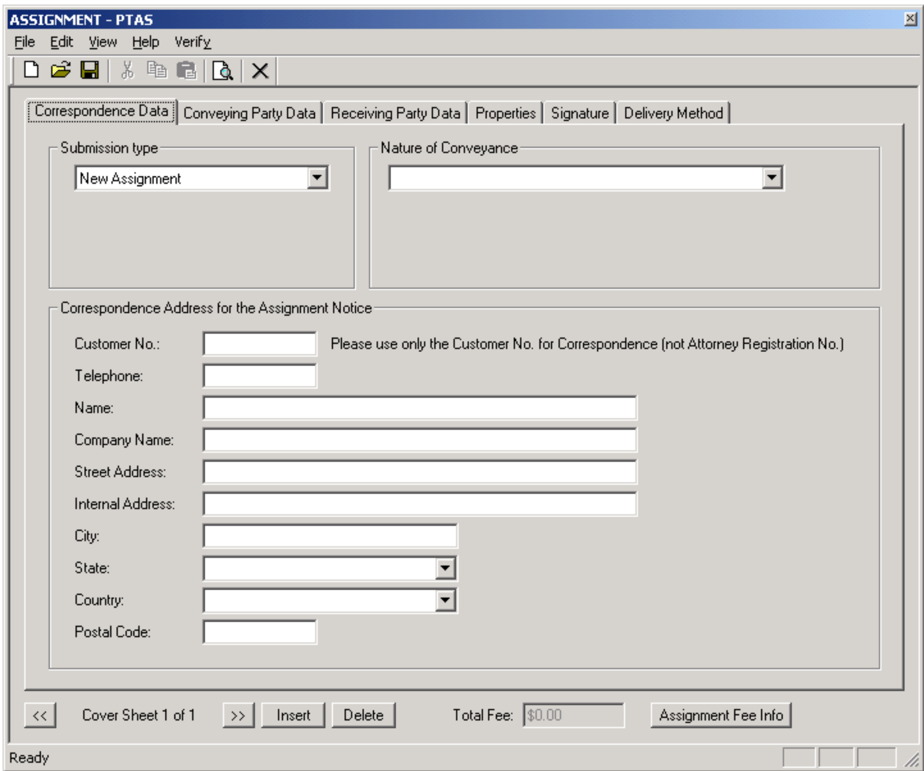


Figure 40: Assignment Coversheet Recordation Form Opening Screen

The Assignment Coversheet form has been divided into 6 main tabs—**Correspondence Data**, **Conveying Party Data**, **Receiving Party Data**, **Properties**, **Signature** and **Delivery Method**.

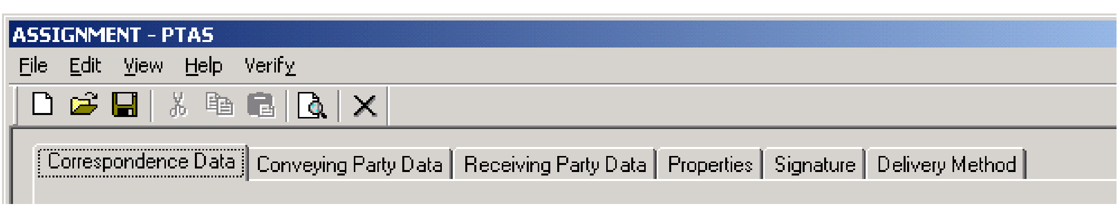


Figure 41: Tabs Available on the Assignment Coversheet Form

Authoring Multiple Coversheets

You may complete up to 15 assignment coversheet forms for recordation and submit them in one submission. Each coversheet will be processed individually after receipt at the Assignment Services Division.

Form Validating Required Data Elements

It is essential for the recordation of your assignment(s) that all required data elements are provided. To ensure the presence of data for the required data elements of each authored assignment coversheet form, form validation routines for the assignment coversheet have been provided. This capability provides the user with form validating routines that will automatically occur when the user navigates between authored coversheets. When exiting the Patent Assignment Recordation module the routines will be applied to all coversheets once the user chooses to save the assignment XML file. A message will only be displayed if a coversheet is lacking any of the required data. Additionally, you may execute the validation routine on demand by selecting or clicking the **Verify** button on the **Delivery Method** tab or by selecting the menu item **Check Current Coversheet** or **Check All Coversheets** from the **Verify** menu on the menu bar. When the Verify button is used or when selecting **Check Current Coversheet** from the **Verify** menu, only the contents of the current coversheet is validated. To validate all authored coversheets select **Check All Coversheets** from the **Verify** menu.

Navigational Controls

The Assignment Recordation form provides the following navigation buttons:

- **Previous**
  Move to the previous coversheet.
- **Next**
  Move to the next coversheet.
- **Insert**
  Insert additional assignment coversheet forms (there is a limitation of 15 assignment recordation forms per patent assignment electronic filing).
- **Delete**
  Delete any authored assignment coversheet form prior to transmission.

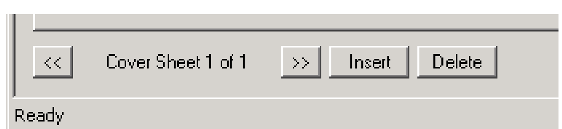


Figure 42: Navigational buttons and controls

The current coversheet is identified between the **Previous** and **Next** buttons.

If required data is missing from the current coversheet, a message is displayed identifying the elements lacking data.

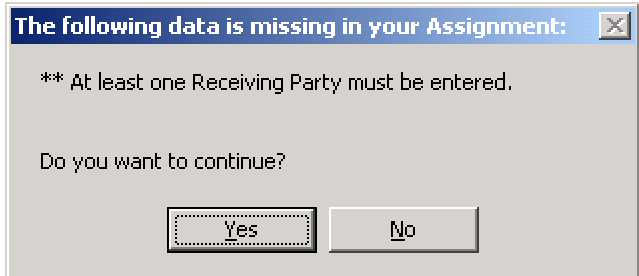


Figure 43: Missing Data

Select **yes** to continue or select **no** to return to the current coversheet.

Insert Button

Click on the **Insert** button to create an additional assignment coversheet or to insert a new form between two already authored forms. A message is displayed requesting that you specify where the insert should occur in relationship to the current form.

Figure 44: Insert Cover

- Select **Yes** to place the new form <u>before</u> the current form.
- Select **No** to place the new form <u>after</u> the current form.
- Select **Cancel** to <u>return</u> to the current form.

Delete Button

Click the Delete button if you want to remove the current coversheet from the batch of coversheets in this filing. When the **Delete** button is selected, a confirmation message is displayed asking you to confirm the delete request.

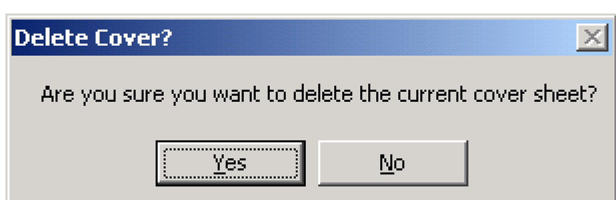


Figure 45: Delete Cover

- Select **Yes** to delete the coversheet and continue.
- Select **No** to cancel the delete and return to the current coversheet.

Previous Button

Click the **Previous** button to move to the previous assignment recordation form.

Next Button

Click the **Next** button to move to the next assignment recordation form. When you click the **Next** button from the last coversheet, a confirmation message is displayed to determine if you are attempting to create an additional assignment coversheet.

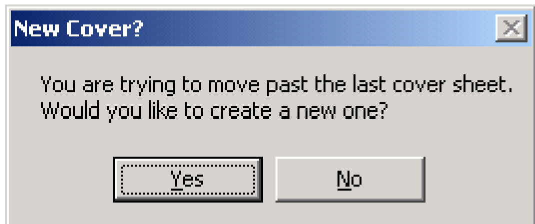


Figure 46: New Cover?

- Click **Yes** to create the next coversheet form.
- Click **No** to return to the current coversheet.

If you select **Yes** to create a new coversheet form and the current coversheet has attachments, the Copy Attachments Dialog Box opens to confirm whether you want to copy the attachments from the current coversheet to the new coversheet.

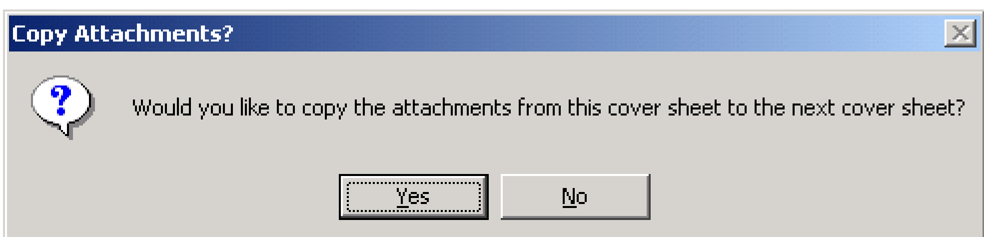


Figure 47: Copy Attachments

- Click **Yes** to copy the attachments from the current coversheet to the new coversheet. The attached tiffs in the current coversheet will automatically be referenced/attached to the new coversheet. If the same filename is attached in multiple coversheets (consecutive or non-consecutive) the file will only be attached to the final package once. The identification of the attachments inside the Assignment coversheet is only a reference; the ePAVE software will not allow duplicate filenames to be attached to the electronic package. When the assignment package is received in the USPTO and the XML file (specifically the attachments data element(s)) contains one or more references to the same filename, Assignment internal processing procedures will generate a copy or copies as needed. The internal procedures will attach the required conveyance document (tiffs) to each coversheet based on the references contained within each coversheet.
- Click **No** to continue without copying the attachments. Select this option if different conveyance documents will be used for the two coversheets.

Assignment Fee Info

The total fee information is shown at the lower right hand corner of each screen.

Figure 48: Fee Information

The **Total Fee** window provides a cumulative summary of the total fee due for this assignment filing. As coversheets are authored and/or properties are added on the properties tab, the **Total Fee** is adjusted.

The **Assignment Fee Info** button provides a detailed listing for all coversheets in this filing. Click on the **Assignment Fee Info** button to display the assignment fee information calculated for the assignment coversheets in this package. Once you have viewed this information, click **OK** to return to the coversheet form. The fee information includes the following items:

- coversheet number
- number of properties per coversheet
- fee amount per assignment coversheet form due for each form.
- first property number entered on each coversheet
- total property numbers for all coversheets
- total fee required for all authored assignment coversheets

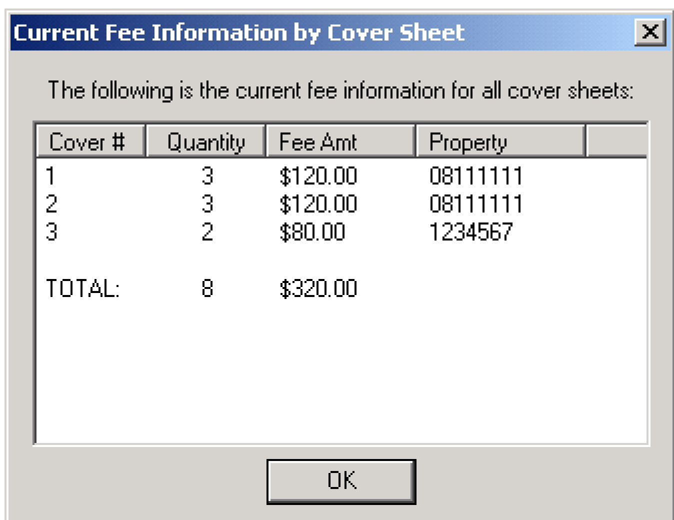


Figure 49: Coversheet Breakdown

If the fee transmittal XML is authored PRIOR to the authoring of the assignment coversheet(s), the Patent Assignment Fee window on the Fee Calculation Screen will NOT reflect any assignment coversheet fee data or assignment fee payment authorization. To have the assignment fee payment and authorization included in the fee transmittal XML you must re-visit the fee form to update. Any Assignment Recordation Coversheet received with NO payment authorization will be non-recorded and returned to the submitter.

Tabs on the Assignment Recordation Form

To record an assignment in the U.S. Patent and Trademark Office, specific information is required. The data elements required on the Assignment Recordation Coversheet Form 1595 used in paper and fax filings are required in electronic filings.

In order to comply with the Government Paper Elimination Act, the Delivery Method tab provides the user with the option of delivery via fax. Delivery via fax is the currently preferred method desired by the Office of Public Records to communicate with the correspondent(s). The default delivery method is fax and requires a fax number to be entered in the appropriate field. This will eliminate possible delays in returning official communications to the correspondent and will provide faster turn-a-round processing.

The Assignment Services Division in the Office of Public Records may not modify your electronic data (with the exception of modifying the customer number for correspondence address).

Each of the tabs, the associated data elements, and the requirement status of each data element are described below.

Correspondence Data Tab

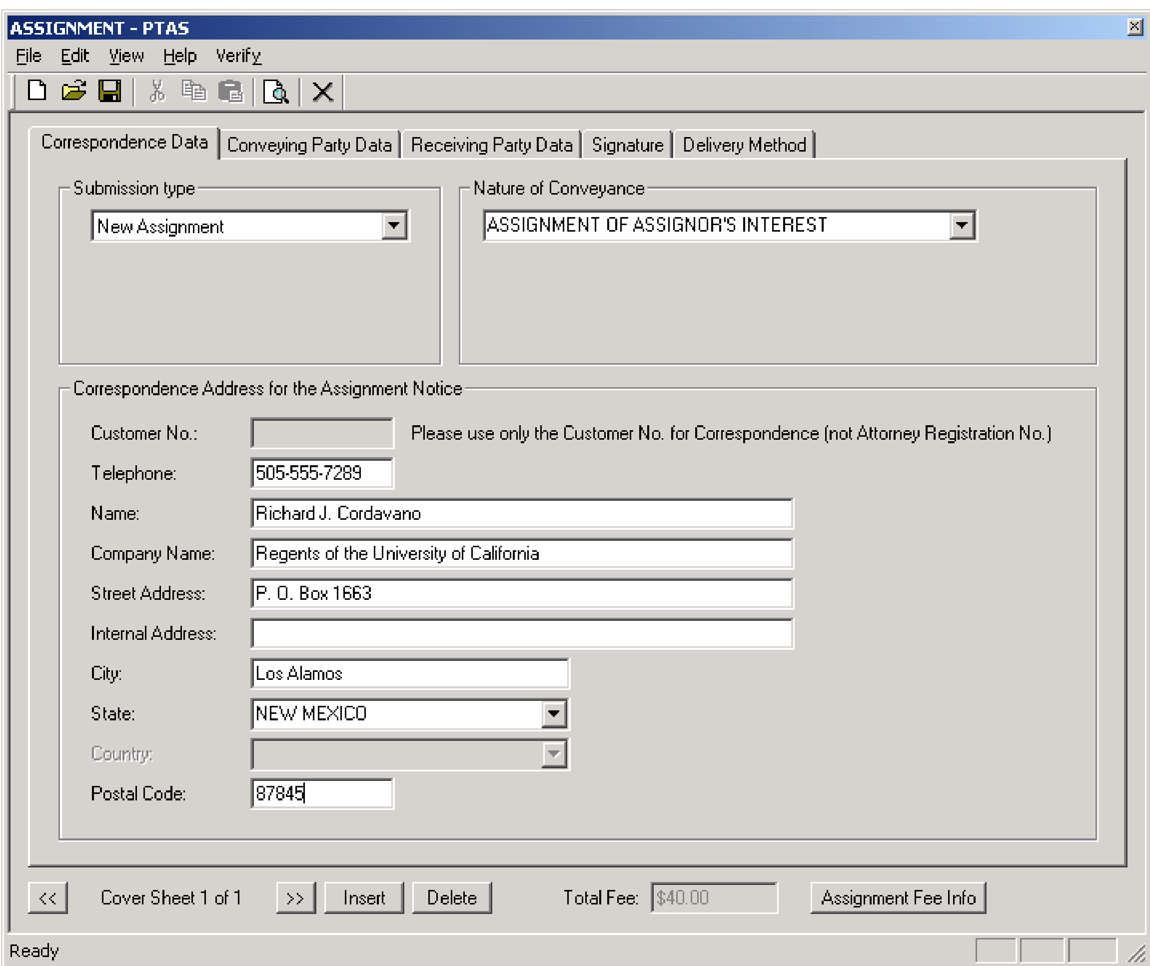


Figure 50: Correspondence Data Tab

The Correspondence Data tab contains three sections—**Submission Type**, **Nature of Conveyance**, and **Correspondence Address Data**. The **Submission Type** defaults to **New Assignment** for all submissions. The **Nature of Conveyance** data contains a drop down list of frequently used types of assignment transactions and a free form type for assignment transactions that don't fall into one of the standard types. When you select the free form option, a field labeled **Conveyance Text** is provided for free form data entry. The **Correspondence Address** section provides the user with the option to enter either a customer number (which will be padded with leading zeroes if the number is less than 6 digits) or the standard name and address fields. There are nine fields in the **Correspondence Address** section of the tab, which allow you to enter either the USPTO provided customer number or the name and address information for person or persons to whom the USPTO should direct official communication. This address will be used in addressing the correspondent(s) with the resulting communication from this assignment filing. You must enter either a customer number for correspondence address or a correspondence name and address.

Table 12: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required or Optional
Submission Type	The default value is **New Assignment**. You can not change this field at this time.	Required
Nature of Conveyance	This field contains a drop-down list of basic conveyance types commonly used in the USPTO. If the list does not contain the appropriate pre-formatted text that describes the interest conveyed or the assignment transaction, select **Free Form Text** at the bottom of the list. Upon selecting **Free Form Text**, a **Conveying Text** window appears.	Required
Conveying Text	Enter text that accurately describes the nature of conveyance. This field is limited to 250 characters.	Required if **Free Form Text** is selected in the **Nature of Conveyance** field.
Customer Number	Enter the customer correspondence address number provided by the USPTO. When you enter data in this field, the remaining Name and Address fields are disabled. During the examination processing of the assignment, the Office of Public Records will electronically retrieve the official address associated with the customer number. Characters are not allowed in this field. This field is limited to 6 digits. If the customer number is less than 6 digits, the number will be padded with leading zeroes. If you want to enter the Name and Address data, simply delete the entry in customer number. **NOTE: Please ensure that the customer number for correspondence address is provided; do not use the customer number for an attorney registration or the attorney registration number.**	Optional You must complete either the Customer Number field or the Name and Address fields.
Telephone Number	Enter the correspondent(s) telephone number; including	Optional

Field or Button	Action or Function	Required or Optional
	international codes and/or area codes. This field is limited to 20 characters.	
Name	Enter the name of the person or persons to whom correspondence should be addressed. Business or company names should be entered in the **Company Name** field. Data entered in this field will disable the **Customer Number** field. When you provide data for this field, the City, State or Country, and Postal Code (required for state names) fields are also required. This field is limited to 40 characters. If you want to enter data in the **Customer Number** field, delete all text entered in the name and address fields.	Optional You must complete either the **Customer Number** field or the **Name** and **Address** fields.
Company Name	Enter the company name where correspondence should be addressed. This field is limited to 40 characters.	Optional
Street Address	Enter the street address for correspondent(s). This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for correspondent(s). This field is limited to 40 characters.	Optional
City	Enter the city name for correspondent(s). This field is limited to 20 characters.	Required if **Name** field completed.
State	If the correspondent/company address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for U.S. addresses if **Name** field completed.
Country	If the correspondent/company address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when	Required for non-U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.

Conveying Party Data Tab

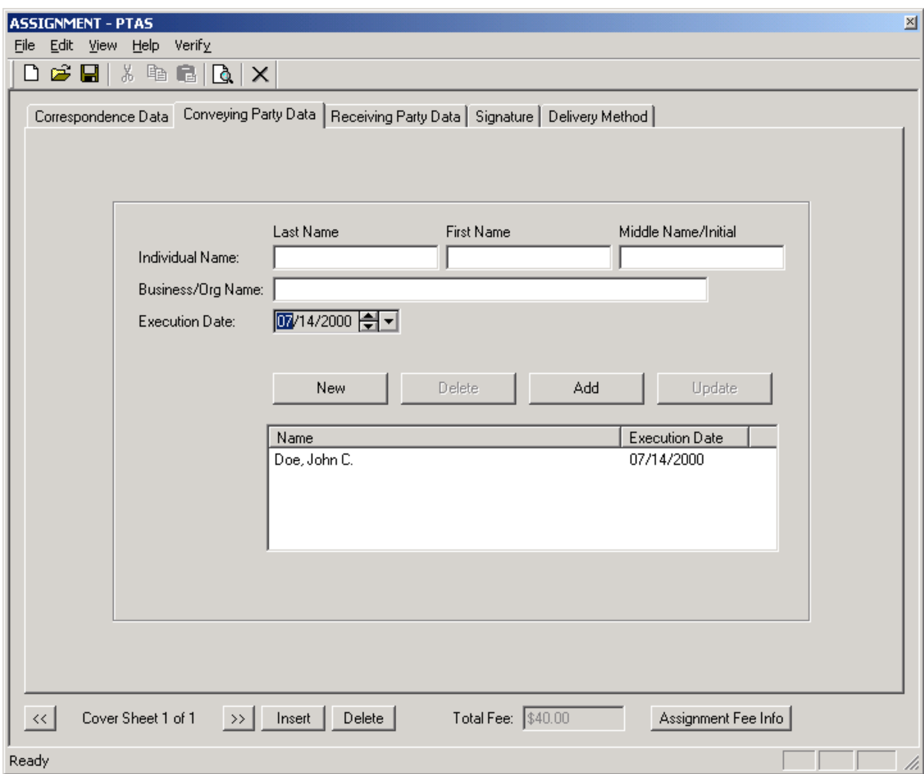


Figure 51: Conveying Party Data Tab

The **Conveying Party** tab consists of two primary sections, the conveying party name fields and the execution date field. The conveying party may be either an individual or a business or organization. You must provide at least one conveying party name and execution date. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO

Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

Table 13: Field and Buttons on the Conveying Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the conveying party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters. The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	Required when conveying party is an individual, except for **Middle Name/Initial**.
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word "The", enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army	Required when conveying party is a business or organization.

Field or Button	Action or Function	Required or Optional
	This field is limited to 240 characters per business/organization name.	
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Receiving Party Data Tab

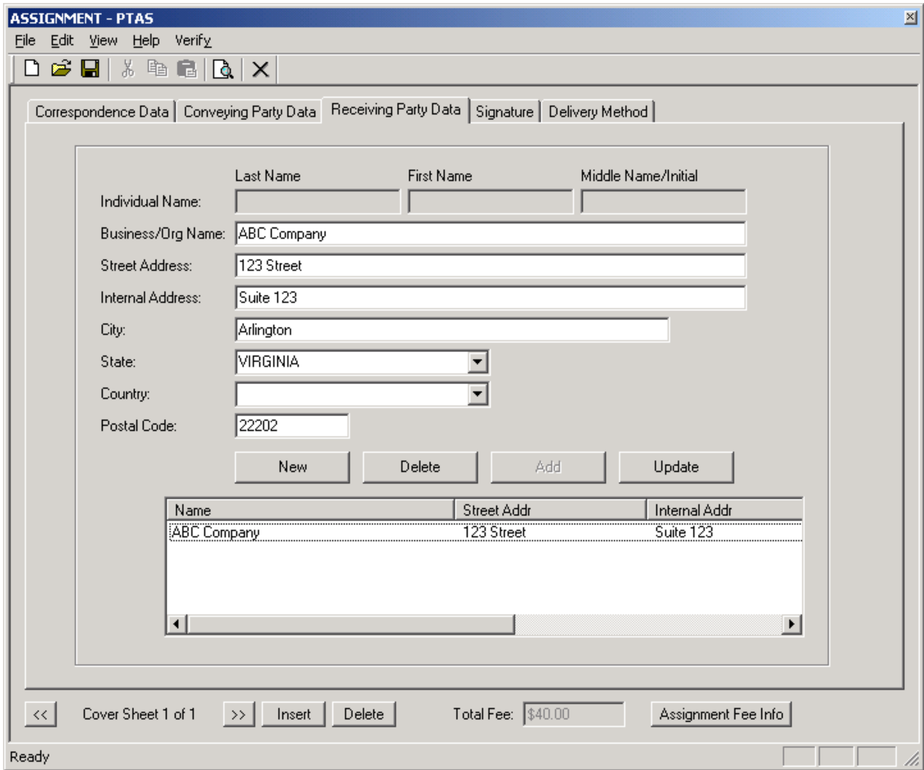


Figure 52: Receiving Party Data Tab

The **Receiving Party** tab consists of the receiving party name and address. You must enter at least one receiving party, and for each receiving party you must complete the name and address fields. The receiving party may be either an individual or a business or organization. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

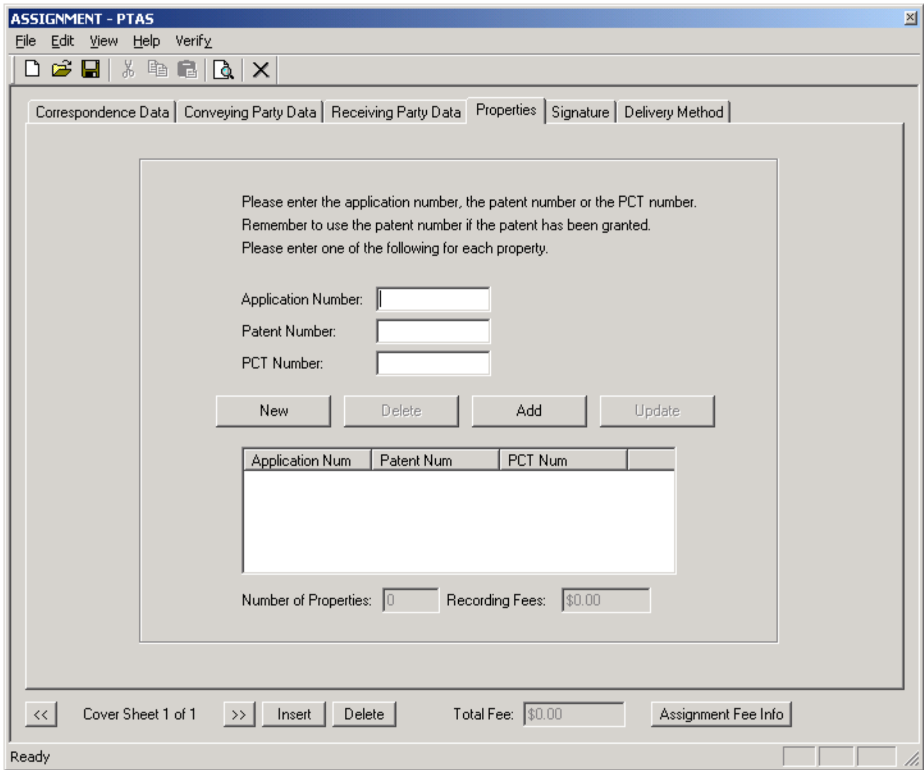
Table 14: Field and Buttons on the Receiving Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the receiving party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters.	Required when receiving party is an individual, except for **Middle Name/Initial**.

Field or Button	Action or Function	Required or Optional
	The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word "The", enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army This field is limited to 240 characters per business/organization name.	Required when receiving party is a business or organization.
Street Address	Enter the street address for the receiving party. This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for the receiving party. This field is limited to 40 characters.	Optional
City	Enter the city name for the receiving party. This field is limited to 20 characters.	Required if **Name** field completed.
State	If the receiving party address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the	Required for U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Country	If the receiving party address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for non-U.S. addresses if **Name** field completed.
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Properties Tab



The **Properties** tab contains three property number fields:

- **Application number**
  An assignment relating to a national patent application must identify the national patent application by the application number (consisting of the series code and the serial number e.g., 07123456. Please **<u>do not</u>** separate the series code and the serial number with a slash (/).
- **Patent number**
  An assignment relating to a patent must identify the patent by the patent number.
- **Patent Cooperation Treaty (PCT) number**
  An assignment relating to an international patent application, which designates the United States of America, must identify the international application by the international application number (e.g., US9001234). Please **<u>do not</u>** separate the country code and the year of filing (US90) with the 5-digit number (01234) with a slash (/).

Do not enter the application number once the patent number has been entered. The user may only enter one of the three property numbers at a time. When an entry is made into one of the fields, the other two fields will be temporarily disabled.

Do not provide an entry for an application number and then enter the associated patent number.
Do not provide an entry for an application number and then enter the associated Patent Cooperation Treaty number.

Do not provide an entry for a Patent Cooperation Treaty number and then enter the associated application number.
Do not provide an entry for a patent number and then enter the associated application number.

Adding a Property

Use the following procedure to add a property:

1. Tab to the desired field, or click the mouse in the field to place the cursor there.

2. Enter the appropriate property number.

3. Click the **Add** button.
   The number is listed in the properties list.

Changing a Property

Use the following procedure to change a property:

1. Select the property from the property list.

2. Click the **Update** button.

Deleting a Property

Use the following procedure to delete a property:

1. Select the property from the property list.

2. Click the **Delete** button.

If a property number is entered and the user attempts to enter the same property number a message will be displayed indicating that duplicate numbers are not permitted.

Table 15: Field and Buttons on the Properties Tab

Field or Button	Action or Function
Application Number	Enter the 2-digit series code followed by a 6-digit serial number. This field requires you to enter 8 digits. You will receive an error message if the number that you enter is not 8 digits.
Patent Number	Enter the 7 alphanumeric or numeric characters that make up the patent number. For design, plant or reissue patent number please use the appropriate alphabetic characters. Please use leading zeros when necessary, for example: 0000001, D000001, PP00001 or RE00001. This field requires you to enter 7 alphanumeric or numeric characters. You will receive an error message if you enter less that 7 characters or enter all alphabetic characters.

Field or Button	Action or Function
PCT Number	Enter the 9 alphanumeric characters that make us the PCT number. Use the following format: 2-character country value 2-digit year 5-digit numeric number (please use leading zeros) This field requires you to enter 9 alphanumeric characters in the specified format. You will receive an error message if you do not enter 9 alphanumeric characters or if you enter an incorrect format.

Currently there is no method to determine if a relationship exists between the entered property numbers. Do not enter the application number and the patent number for the same patent property.

As each property number is added to the property list, the order of entry is maintained. As property numbers are added or removed from the property list, the value in the **Number of Properties** window and the **Recording Fee** window is automatically adjusted to reflect the action performed.

Figure 53: Property Information for Current Coversheet

Signature Tab

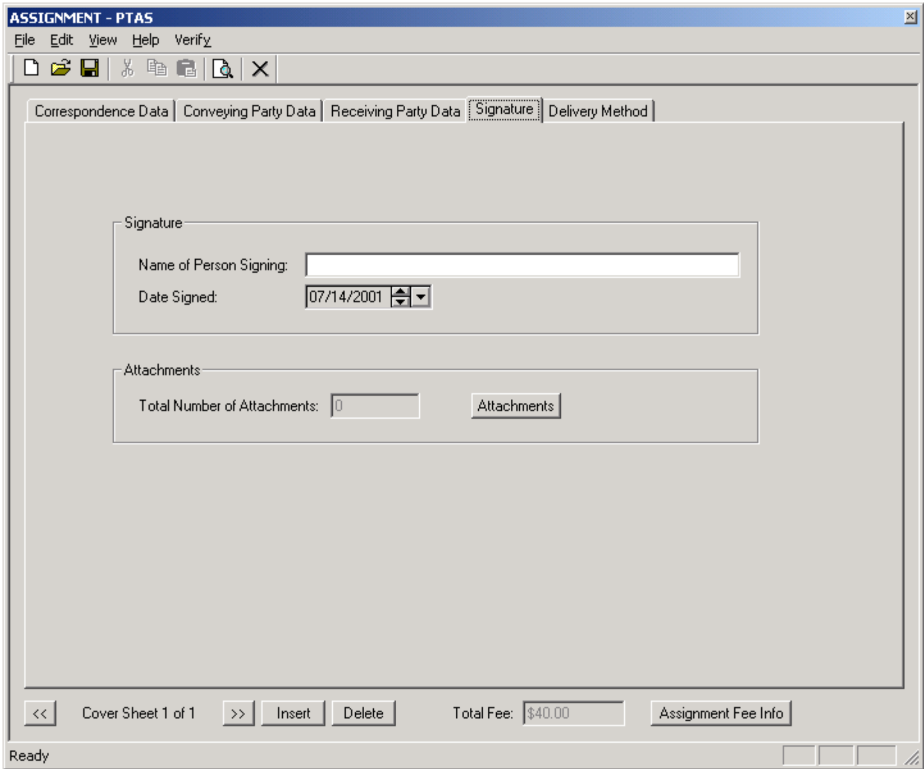


Figure 54: Signature Tab

The signature tab contains three fields—**Name of Person Signing**, **Date Signed**, and **Attachments**.

Table 16: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Name of Person Signing	Enter the name of the person who is electronically signing the submission. This field is limited to 40 characters.	Required
Date Signed	Select the date on which this form is completed or the date the user plans to submit this electronic package to the U.S. Patent and Trademark Office via ePAVE. Dates must use MM/DD/YYYY format. The date must be selected from the calendar resource provided. Each part of the date may be selected and changed as appropriate. The date entered for **Date Signed** may not be greater than the current date.	Required
Attachments	You can not enter any data into this field. Click the **Attachments** button to attach the conveyance document that supports the data entered in the current coversheet form. The tiff files attached must be black and white single-page TIFF images. Image compression format must be 300 dpi Group IV or 300 dpi non-	N/A

Field or Button	Action or Function	Required?
	compressed. For additional TIFF information please consult the ***Technical Requirements*** section in this user guide.	

Microfilm media is the standard archival method used by the Assignment Services Division. Microfilm format requires single-page black and white TIFF images.

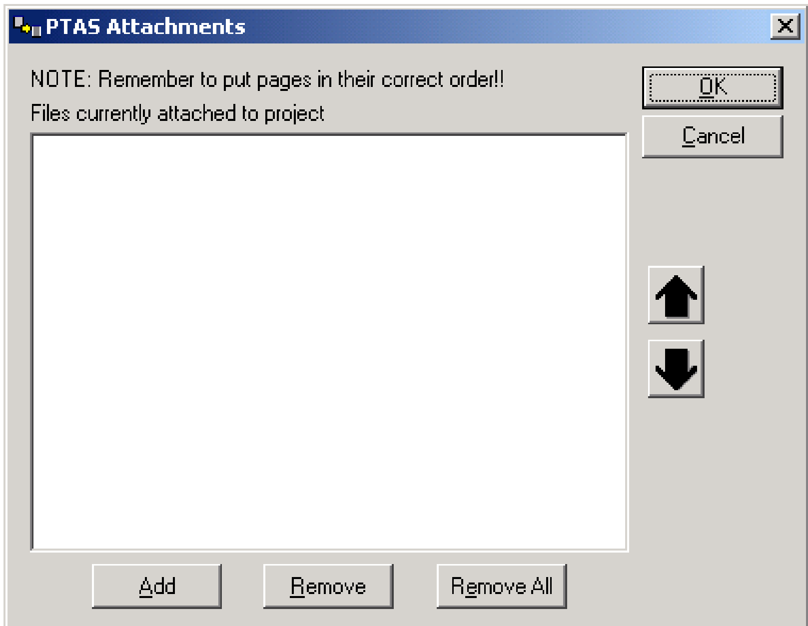


Figure 55: Attachment Dialog Box

Adding an Attachment

Use the following procedure to add an attachment:

1. Click the **Add** button.
   The following dialog box opens.

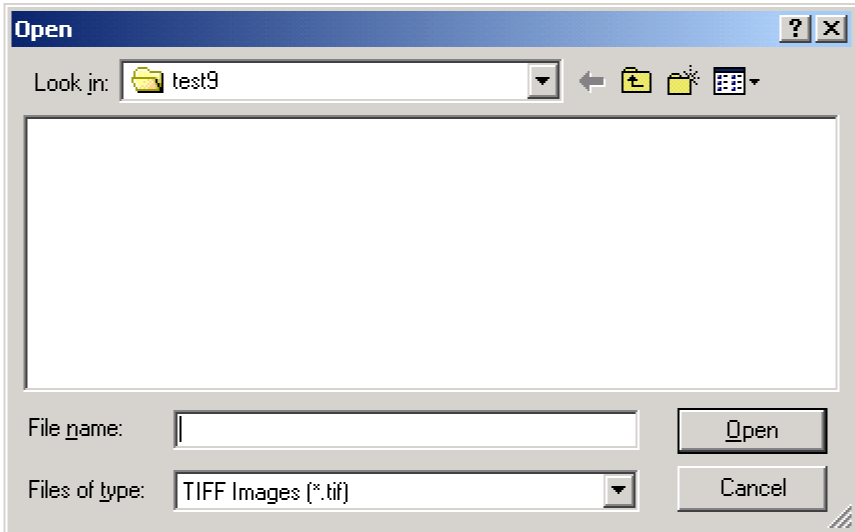


Figure 56: Adding attachment(s) to the current coversheet

2. Navigate the computer's hard drive to locate and select the file(s) that you want to attach as part of this submission.

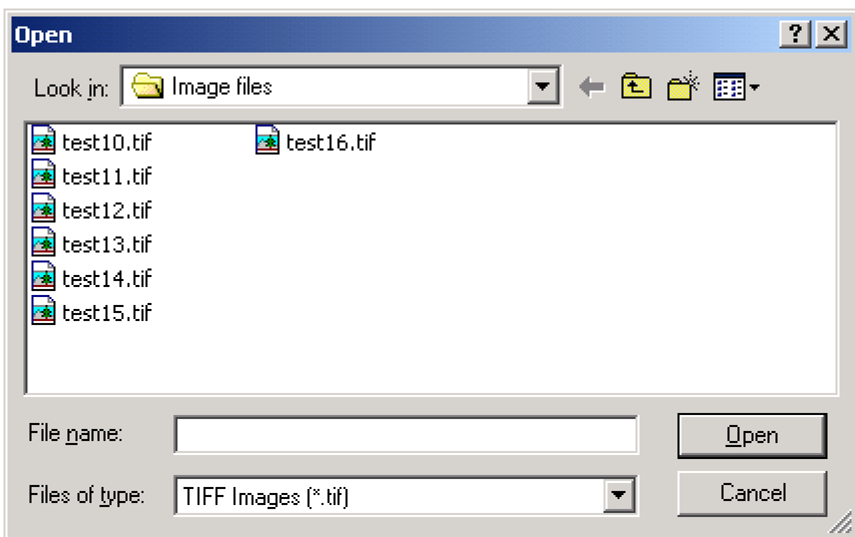


Figure 57: Attaching .tif Files

3. Click the **Open** button.
The files are attached.

The entry for the total number of attachments is automatically calculated based on your selection of files, and is displayed in the attachment field.

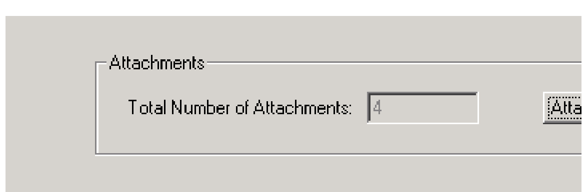


Figure 58: Attachment calculation

Please ensure that the list of attachments is in the proper page order for this electronic submission. This will ensure proper page order within the microfilm media. The recorded document will be placed on microfilm in the order the document is received. For example, based on the listing shown in the **Selection of TIFF Images** figure below, the file **C:\Image files\test11.tif** would become page 1 of the attachment, **C:\Image Files\test12.tif** would become page 2 of the attachment, **C:\Image Files\test14.tif** would become page 3 of the attachment and **C:\Image Files\test13.tif** would become page 4 of the attached assignment document.

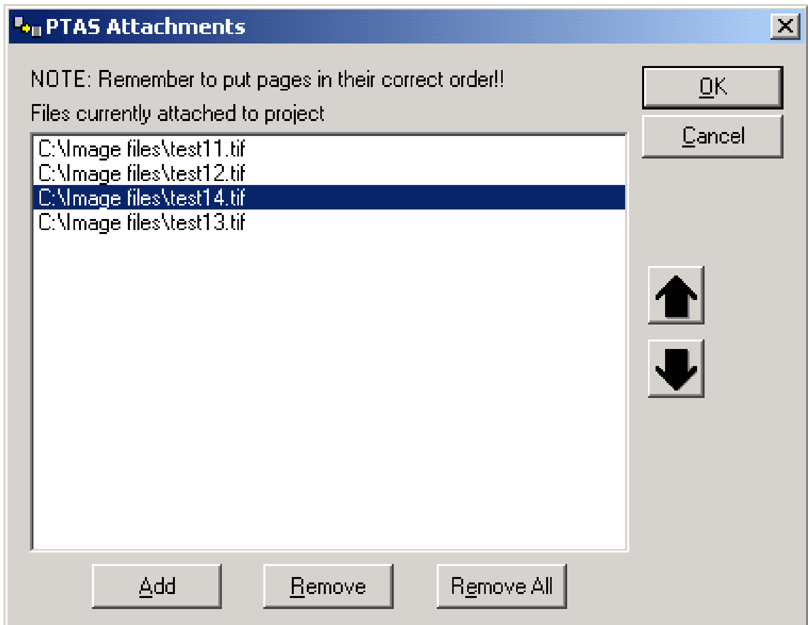


Figure 59: Selection of TIFF Images

Upon receipt in the Patent and Trademark Office, the electronic XML assignment document and assignment attachments will enter the Patent and Trademark (automated) Assignment System. During PTO pre-processing the assignment XML document is rendered using an XSL Stylesheet. This rendered document is then converted into a TIFF image and merged with the assignment attachments into an electronic folder that contains one assignment cover sheet document (may consist of multiple pages) and one assignment document (pages determined based on attachments). This process allows the electronic assignment submission to be entered directly into the automated Patent and Trademark Assignment System.

A legal supporting (conveyance/assignment) document is required to be attached to each authored coversheet.

Removing an Attachment

Use the following procedure to remove an attachment:

1. Select the attachment(s) that you want to remove from the current coversheet.

2. Click the Remove button to remove the TIFF attachment from the current coversheet, or click the Remove All button to remove all TIFF attachments from the current coversheet.

Rearranging the Attachments

Use the up and down arrow buttons on the **Attachments** dialog box to rearrange the order of the TIFF attachments (pages of the conveyance document) that are attached to the current coversheet.

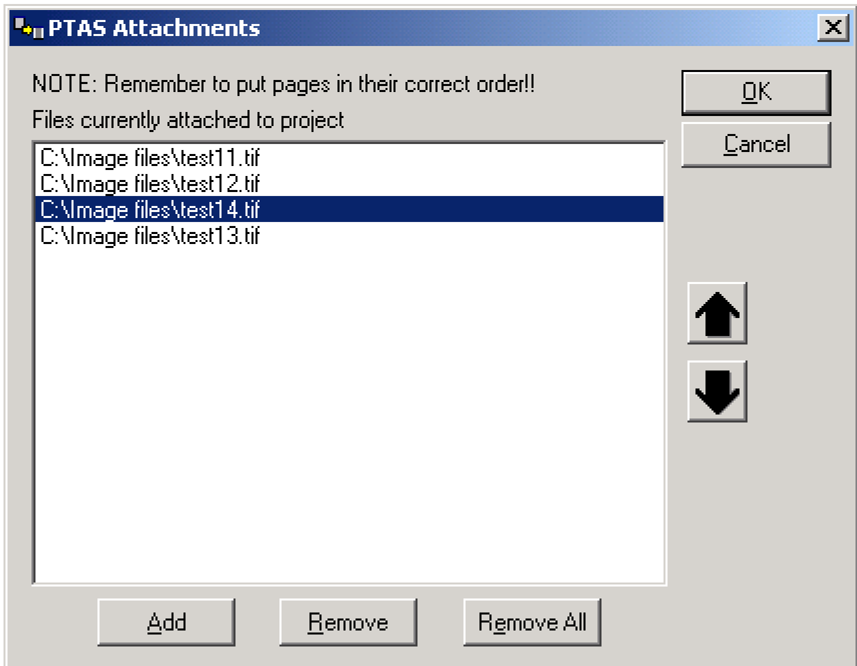


Figure 60: Attachments Box with NOTE to Put Copies in Order

Delivery Method Tab

The **Delivery Method** tab contains the delivery method options and the **Verify** button.

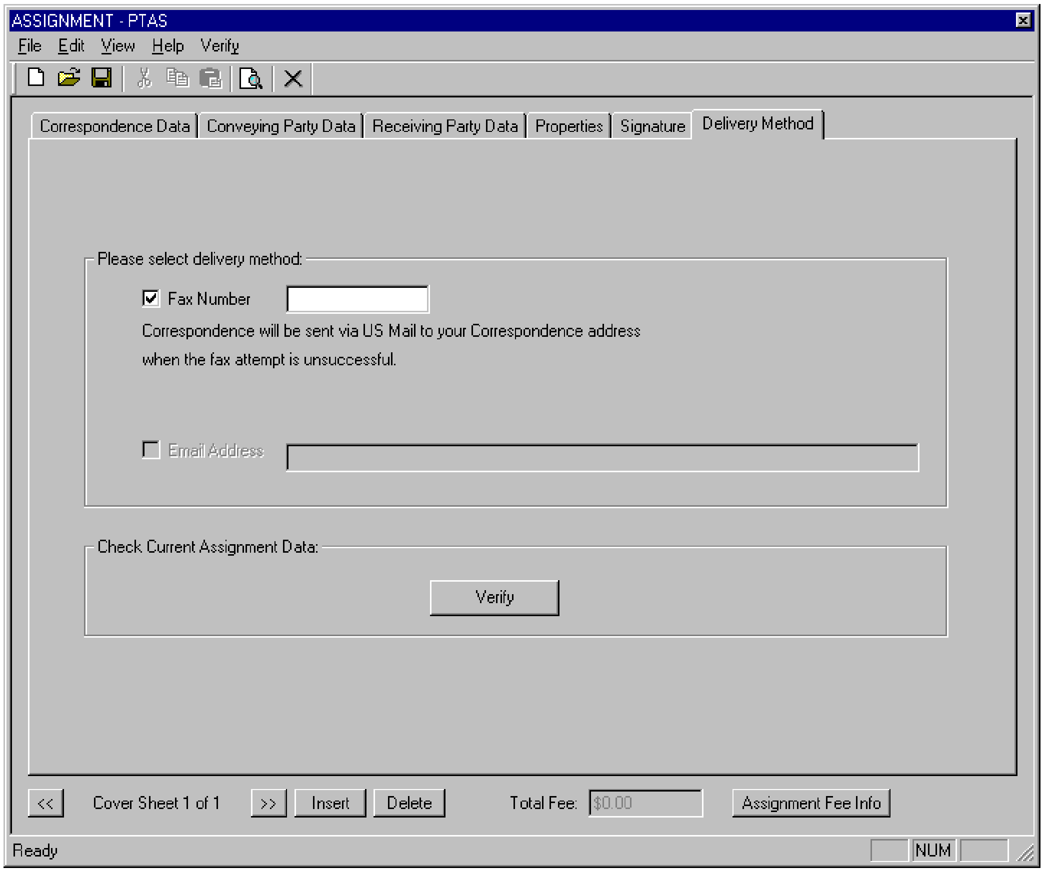


Figure 61: Delivery Method Tab

The default delivery method is **Fax Number**, and is automatically marked when the **Delivery** tab is selected. The **Email Address** option is intended for future use and is not available at this time.

Table 17: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Fax Number	Enter the fax number where correspondence may be transmitted. Please enter a dedicated fax number. Numbers that are associated with PBX equipment, a switchboard or answering machine telephone lines will cause the fax transmission to fail. Faxing to an international telephone number is not permitted at this time. This field is limited to 20 characters.	Required if you want to receive correspondence by Fax.
Verify	Click this button to determine if all required fields have been completed for the **current coversheet**. A display message will indicate the findings based on the review of the entered data during the verification process.	N/A

Verifying Coversheets

Use the following procedure to verify all or one coversheet:

1. Go to the **Verify** menu.

2. Select **Check Current Coversheet** to verify the current coversheet, or select **Check All Coversheets** to verify the contents of all coversheets. You can access either of these menu items at any time during data entry.

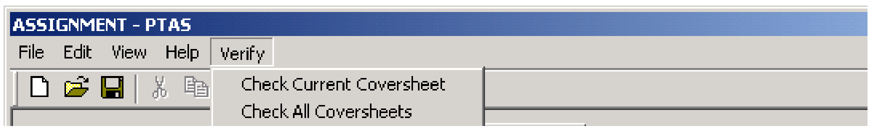


Figure 62: Verify Menu List

3. If data is missing from the **Check Current Coversheet** task, a message is displayed indicating the elements lacking data. If data is missing from the **Check All Coversheet** task, a message is displayed indicating the data element and the number of the coversheet that is lacking the element, as shown below. A display message is only shown when data is missing.

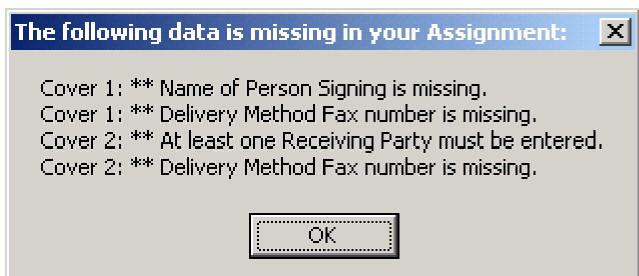


Figure 63: Check All Coversheets – Data missing

Viewing the Assignment Recordation Form

To view the electronic assignment submission XML document, a style sheet document (XSL document) has been provided and will render (in a single page display format) the data that you have entered in the electronic assignment form. When you author multiple coversheets, the display shows the contents of all coversheets on one screen.

To render the assignment XML document (all coversheets), go to the **View** menu and select **Recordation Cover Sheet** or click on the print preview icon located on the toolbar under the menu bar .

If multiple coversheets are authored, the Assignment Services Division automated programs will parse through the XML file and create individual XML files for each coversheet authored, then using XSL render the document and then create a tiff image or images from the rendered document.

Attachments Tab

The Attachments tab allows you to attach your authored XML specification document with or without figures; your separate tiff image file(s) containing the declaration for the new utility patent application to your submission or the optional small entity statement as a tiff image file and/or the text files cited in the specification document as appendix data (i.e. computer listings, tables) per rule CFR 37 Section 1.52 (e), and Section 1.58. Forms authored in ePAVE (such as the Application data form) are automatically attached by the application.

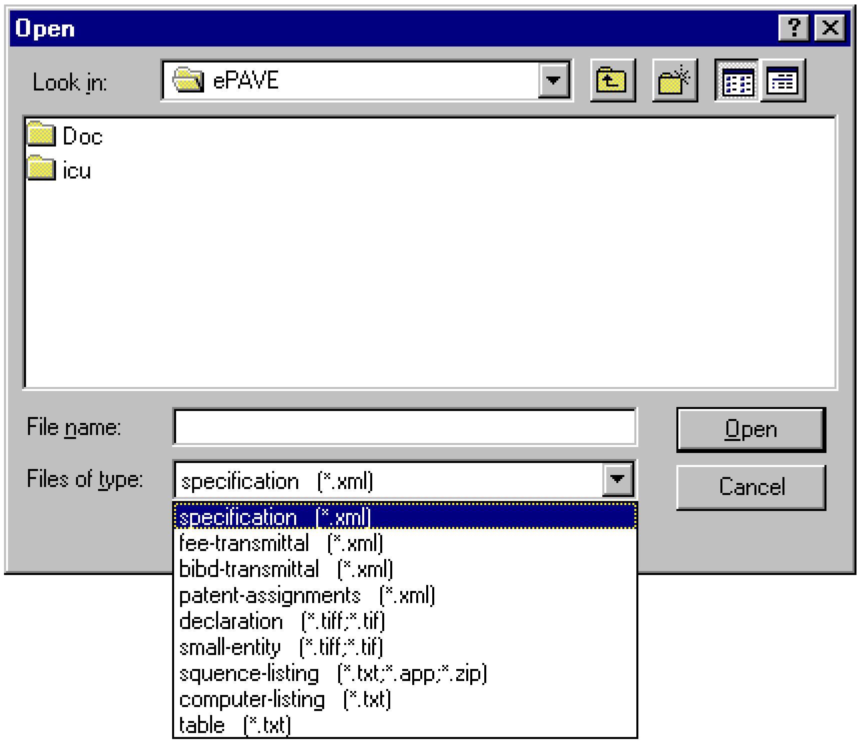


Figure 64: Specifying the Appropriate File Attachment Type

After viewing an XML document you may close the viewing screen by clicking "X" in the upper right corner of the displayed screen or click the File on the menu bar and select exit.

To view the Submission Transmittal Form click on **File** from the menu bar and select Print Preview. The Submission Transmittal Form is the "cover" letter for your electronic submission.

The attached declaration document and small entity statement must be single-page tiff images. For example, if the declaration document is comprised of 3 pages, then there would be 3 tiff image files attached to the EFS submission each containing one page of the declaration document.

Figures or graphics associated with the specification XML document also are scanned as single tiff image files. Please refer to EFS Authoring User Manuals for a discussion of figures associated with the specification XML document.

NOTE: If you are submitting a text file as part of a new utility patent application filing, the sequence listing contained in the CRF text file must be referenced in the Patent application specification document to be electronically filed. Also, any appendix data (as attached text files) must also be referenced in the specification document.

The Transmission Documents box on the Attachment tab screen contains information identifying all the documents included in this submission. You will view a list of the electronic files you have attached to the submission "package". At the bottom of the Attachment tab screen there is a box that displays details about the selected attached electronic document.

The Selected Document's Details shows the File Name, file size, File Date/Time and Document Type.

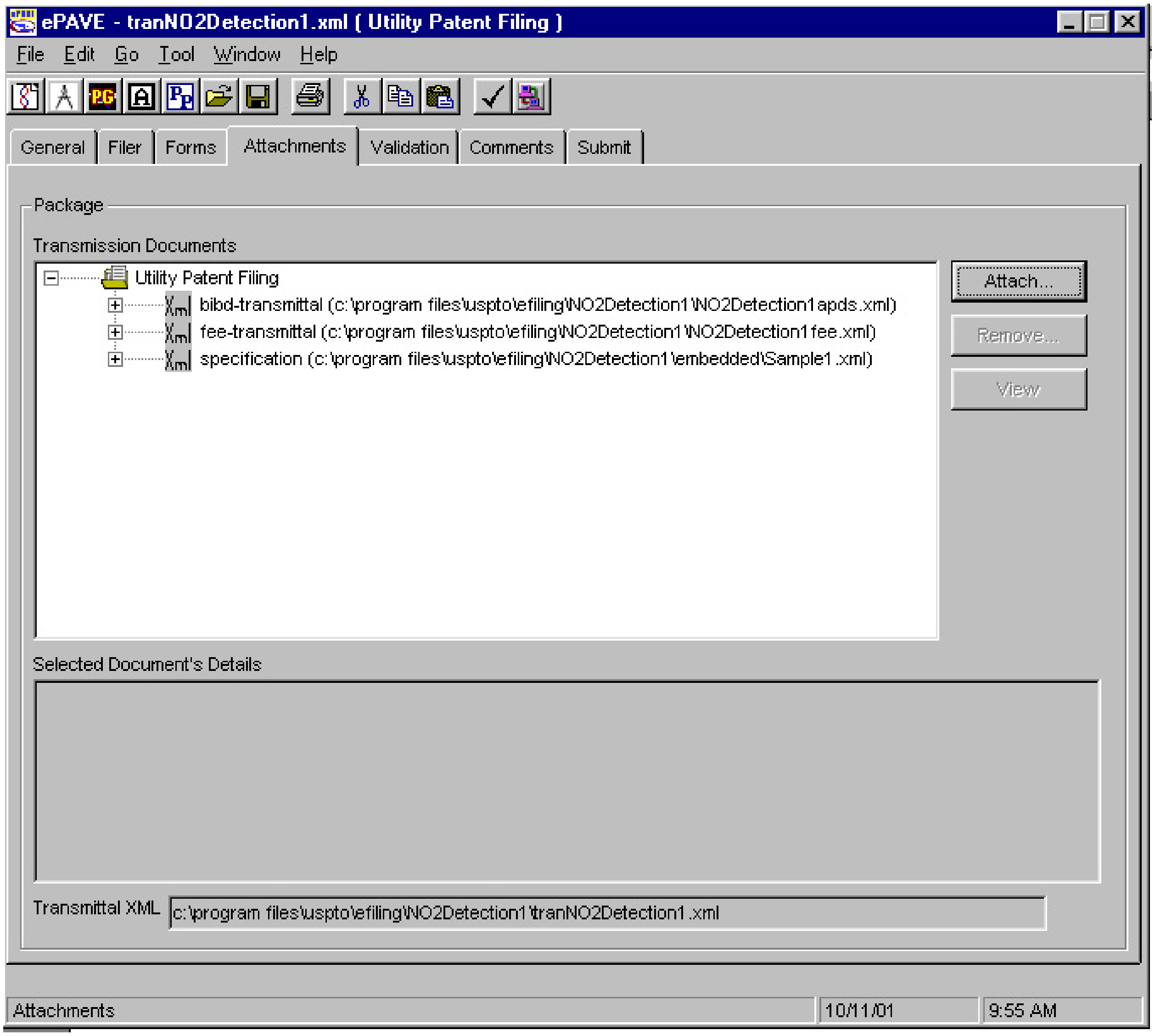


Figure 65: Attachments Tab

Fields and Buttons on the Attachments Tab

The following table explains the fields and buttons on the **Attachments** tab, and also explains the function of each field or button:

Table 18: Fields and Buttons on the Attachments Tab

Field or Button	Action or Function	Required or Optional
Transmission Documents	This field identifies all of the documents that are attached to your submission package. You can browse through the directories to locate a specific file.	N/A
Attach	Click this button to attach a file to the submission package. For more information about this procedure, see ***Attaching a File***	N/A

Field or Button	Action or Function	Required or Optional
	on page 50.	
Remove	Click this button to remove a file from the submission package. For more information about this procedure, see Removing a File on page 50.	N/A
View	Click this button to view The **View** button located under the **Remove** button on the Attachments tab screen is used to view the XML documents using EFS USPTO standard style sheets and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.	
Selected Document's Details	This field shows detailed information about any form that is selected in the **Transmission Documents** field, including file name, file size, date/time, and document type.	
Transmittal XML	This field shows the location of the Transmittal XML document.	

Attaching a File

Use the following procedure to attach a file:

1. Click one time on the **Attach** button with your computer mouse. A dialogue box will open to allow you to view the computer directories where you have stored the file to be attached.
2. Locate and highlight the drive and folder where you have stored the authored Patent application specification document. Attach the XML file containing the New Utility Patent application specification document and any associated tiff image files containing figures by double clicking on the file name, or by selecting the file and clicking **Open**.

   If you are filing a new utility application a dialogue box will next appear asking for the file name of a scanned image of the declaration statement. (This file is not required for filing, but is recommended.) This image file needs to be in TIFF image format. This box can be closed without selecting an image file.

Note: When removing the specification XML file, the declaration statement TIFF file will be automatically removed as well. If the declaration statement TIFF file needs to be updated, the specification XML file must be deleted and reattached.

The Embedded Folder

To facilitate the easy organization and transmission of patent applications, ePAVE now keeps items attached in the Attachments tab in an automatically created folder labeled "embedded" in the specified project folder that is created at the time of the first attachment.

During the creation of a project in ePAVE, the user will need to attach the specification document that was created in the authoring tool and depending on the situation, may need to attach other .tiff images (such as a small entity claim).

When any attachment is made in the Attachments tab of ePAVE, a folder labeled "embedded" is created in the open project folder and the attachment is copied into that folder. For a specification this means that any .tiff images, the specification's .dtd and .xsl files along with the selected .xml document itself are automatically copied into the embedded folder. For other "stand alone" attachments, such as a small entity claim, only the image itself is copied into the embedded folder.

The embedded folder does not separate the specification files from other attached files (such as a small entity claim).

NOTE: Attachments that are made as part of a form (such as an attachment in the -Signature tab of the Patent Assignment Recordation form) are NOT stored in the embedded folder. ePAVE maintains the link to the attachment and sends it along with the rest of the files at the time of transmission.

The following illustrates what ePAVE does when files are attached in the Attachments tab.

- The image below is what the project folder looks like when it is initially created:

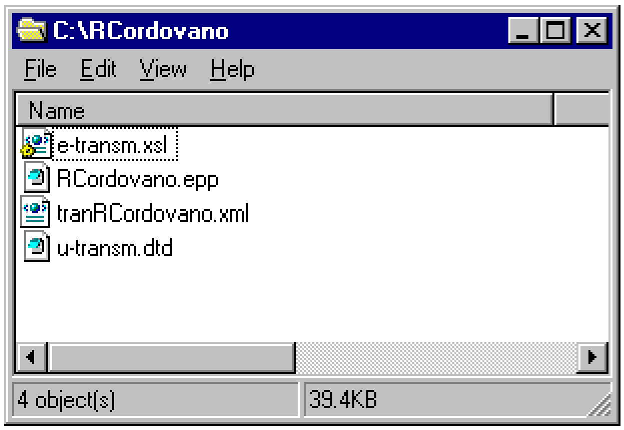


Figure 66: Project folder when first created

- Then a specification is added in the Attachments tab:

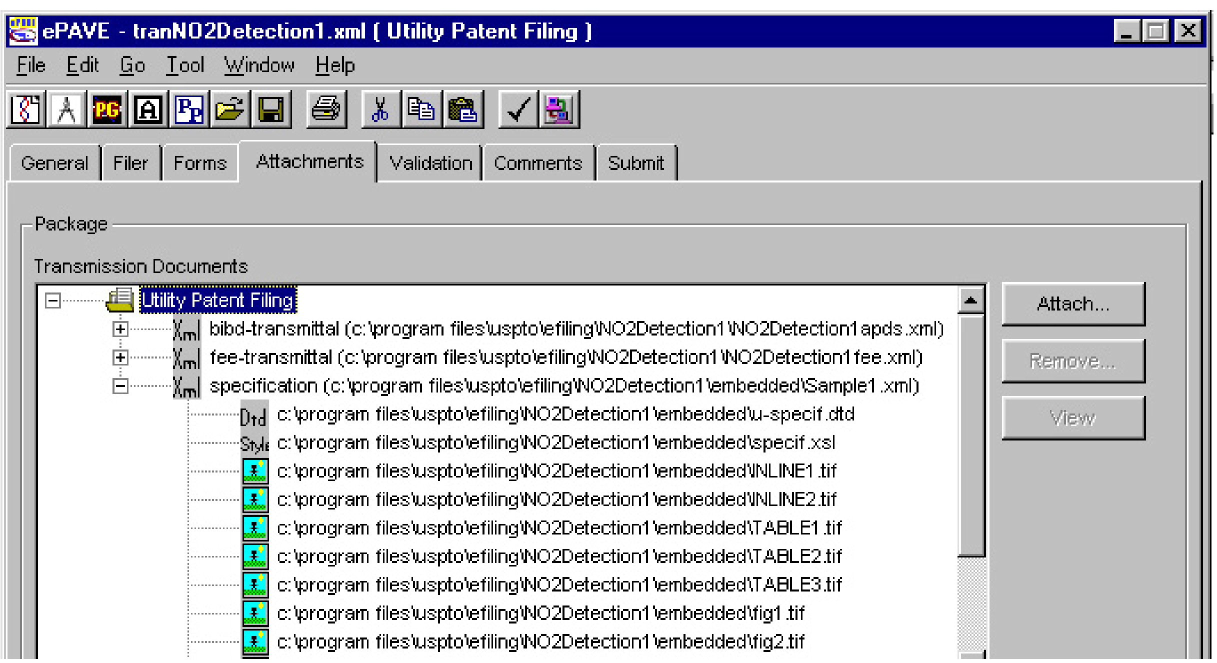


Figure 67: Attachments tab with specification and linked figure images

- After the specification is added, a folder labeled "embedded" is created in the project folder:

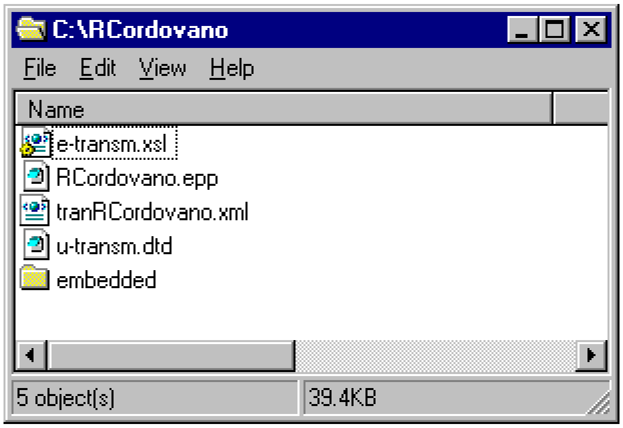


Figure 68: Project folder with embedded folder

- Within the embedded folder, the necessary files of the specification, including linked images are copied:

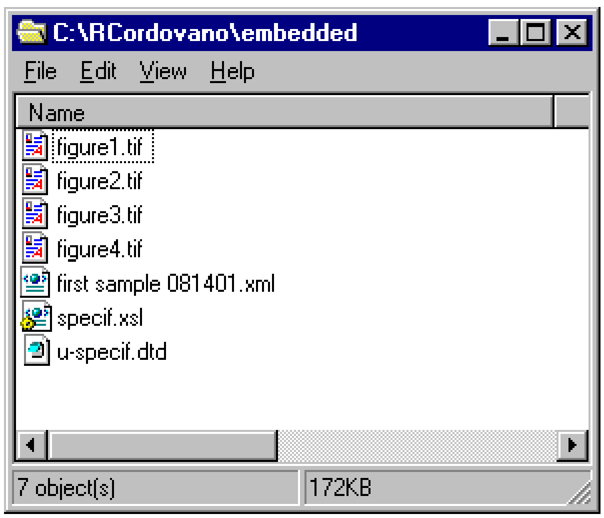


Figure 69: Specification and linked images in the embedded folder

- Then a declaration is added in the Attachments tab:

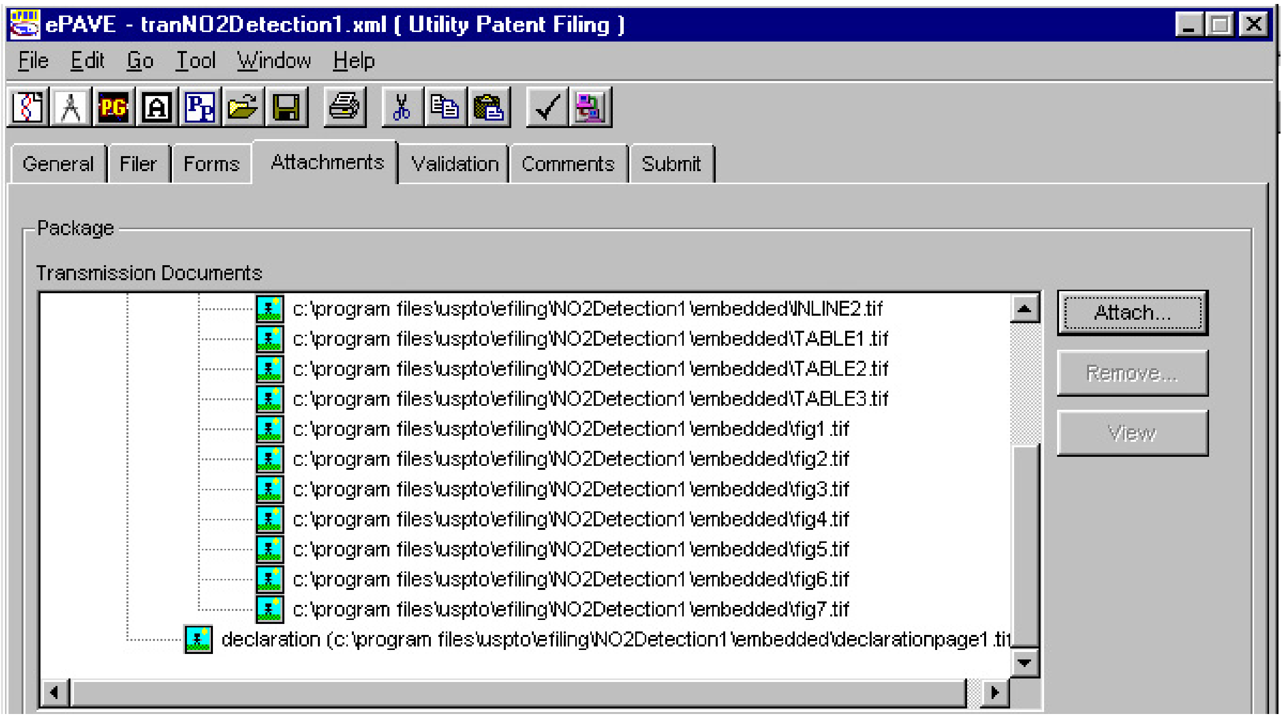


Figure 70: Attachments tab with attached specification and declaration

- The attached declaration is added to the embedded folder:

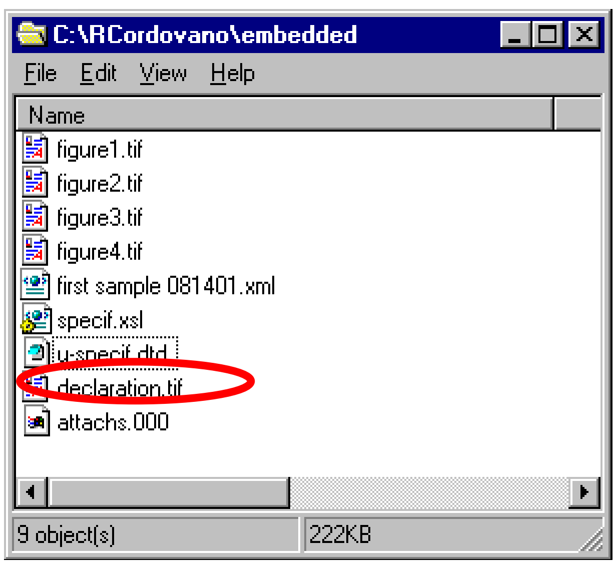


Figure 71: Embedded folder with specification and declaration

Removing a File

Use the following procedure to remove a file from the submission package:

1. Select the file you want to remove. The entire file should be highlighted blue on the screen.

2. Click the **Remove** button to remove the attachment.

NOTE: To re-attach a document that you have removed from the submission package, you must go back to the Forms tab and re-select the form you removed, and then go to the Attachments tab and re-attach the form.

Viewing and Printing Your Submission

Use the following procedure to view and/or print the **Submission Transmittal Form**:

1. Select **Print Preview** from the ePAVE **File** menu. This allows you to view the form on the screen.

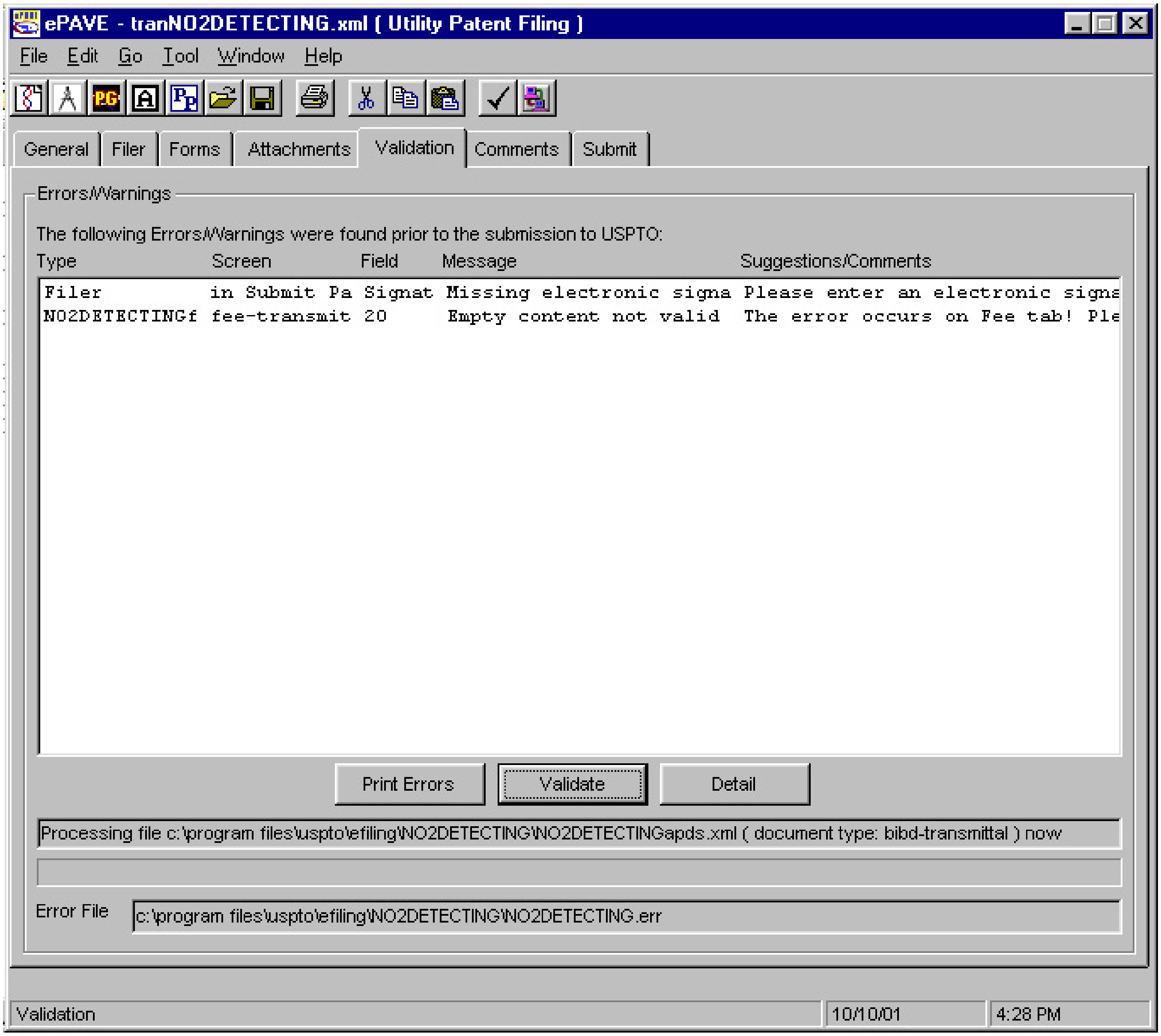
2. Click the **Print** button to print the form to your default printer.

Validation Tab

The **Validation** tab provides an automatic validation of your submission to identify any errors before you send your submission to the USPTO. You can manually validate the submission at any time by clicking on the **Validate** button or by clicking the check mark icon on the ePAVE tool bar.

You can print a list of current errors at any time during the authoring stage of the submission process.

ePAVE's validation messages are produced by a computer validation program that reads the XML-tagged data that you are submitting. The error messages that ePAVE provides identify specific errors in your submission.



Fields and Buttons on the Validation Tab

The following table explains the fields and buttons on the **Validation** tab:

Field or Button	Action or Function	Required or Optional
Type	This column shows the type of error.	
Screen	This column shows the screen where there error occurs.	
Field	This column identifies the specific field where the error occurs.	
Message	This column shows the error message related to this error.	
Suggestions/Comments	This column provides instructions for correcting the error.	

Field or Button	Action or Function	Required or Optional
Print Errors	Click this button to print the list of errors to your default printer.	
Validate	Click this button to validate your submission. EPAVE returns a list of errors in the field above.	
Detail	Click this button to view the details of the selected error. You can also double-click the error to view its details. The Error Message Detail window provides additional instructions on how to correct the error..	
Errors File	This field shows the location where the errors file is stored.	

Validating your Submission

Use the following procedure to validate your submission:

1. Verify that your computer is connected to the Internet. You must be connected to the Internet before you can validate your submission.

2. Click the **Validate** button.
ePAVE validates your submission and lists any errors that it identifies during this process in the **Errors/Warnings** field.

3. Double-click on an error that is listed in the field, or select an error and click the **Detail** button.
The **Error Message Detail** window appears, providing additional information about the error and instructions for correcting the error.

4. Correct the error as suggested in the **Error Message Detail** window.

5. Repeat **Step 3** for each error.

6. Click the **Close** button or the **X** at the top of the page when you are finished.
The **Error Message Detail** window closes, and you return to the **Validate** tab.

7. Click the **Validate** button to revalidate your corrected submission.

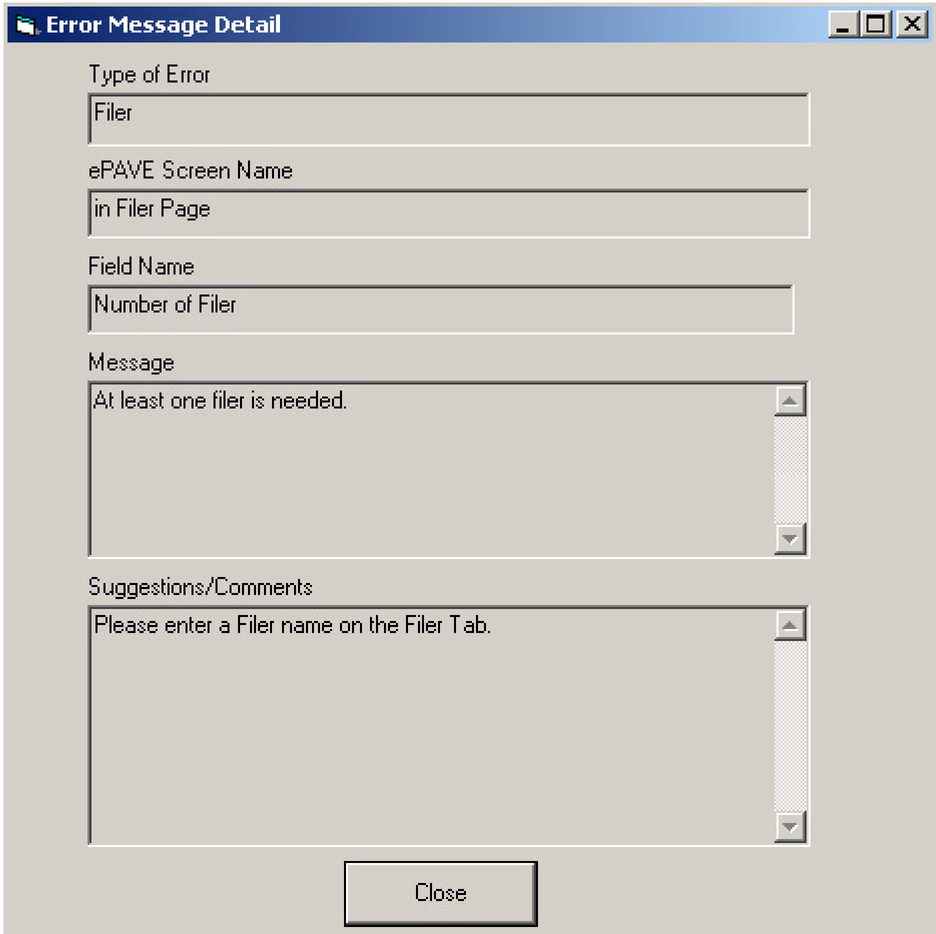
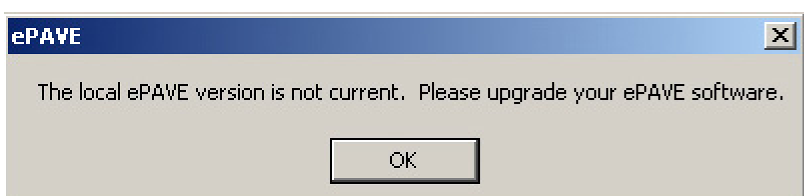


Figure 72: Error Message Detail

Common Validation Errors

If you attempt to use a version of ePAVE that is not the most current version available, you will receive an error message during validation that is similar to the following messages:



Or

This XML files DTD does not match any server's. Please check if you need to update your DTD

If you receive one of these error messages during validation, go to the EFS website that is accessible from www.uspto.gov and download the latest ePAVE software. You can check your version by going to the **Help** menu in the ePAVE interface and selecting **About ePAVE**.

Printing Identified Errors

Use the following procedure to print a list of the errors that ePAVE identified during validation:

1. Click the **Print Errors** button.
   The list of errors that ePAVE identified during validation are printed on your default printer.

Comments Tab

The **Comments** tab contains a text box where you can author any additional comments that you want to include on your XML transmittal. For example, if you are filing a pre-grant publication to correct errors in a previous publication, you should indicate what changes you are submitting for republication. For a subsequent filing, such as the CRF biotechnology sequence listing submission or the new utility patent application submission, you should include any detailed information about the Patent application that you are filing that is not already contained in the documents and forms attached to your submission.

The following examples show are notations for citing corrections made to a publication submission. You must identify the INID code, drawing page, paragraph number, or claim number. You can also include the title of the application, although it is also captured on the transmittal form.

Example 1: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example 2: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Another instance where you would use the **Comments** tab is when you are filing a pre-grant publication redacted application via EFS to indicate that you have met the concurrent paper requirements of the new rule 1.217(c).

The following figure shows the **Comments** tab:

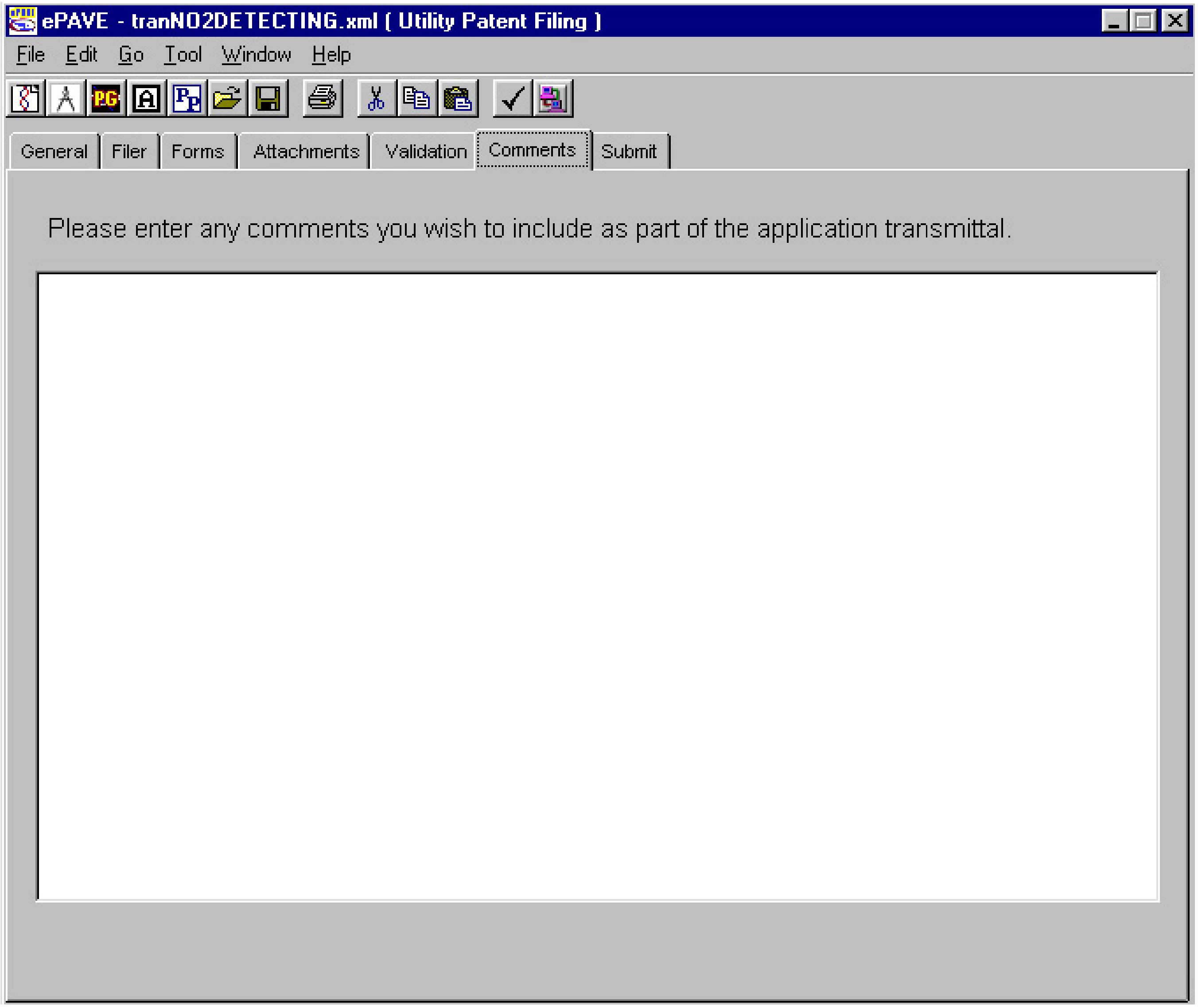


Figure 73: Comments Tab

Fields and Buttons on the Comments Tab

The following table explains the fields and buttons on the **Comments** tab:

Table 19: Fields and Buttons on the Comments Tab

Field or Button	Action or Function	Required or Optional
Comments	Enter any additional comments or information about your submission. For a provisional application, indicate any U.S. government agency that has a property interest in the application.	Optional

Submit Tab

The **Submit** tab is where you will sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

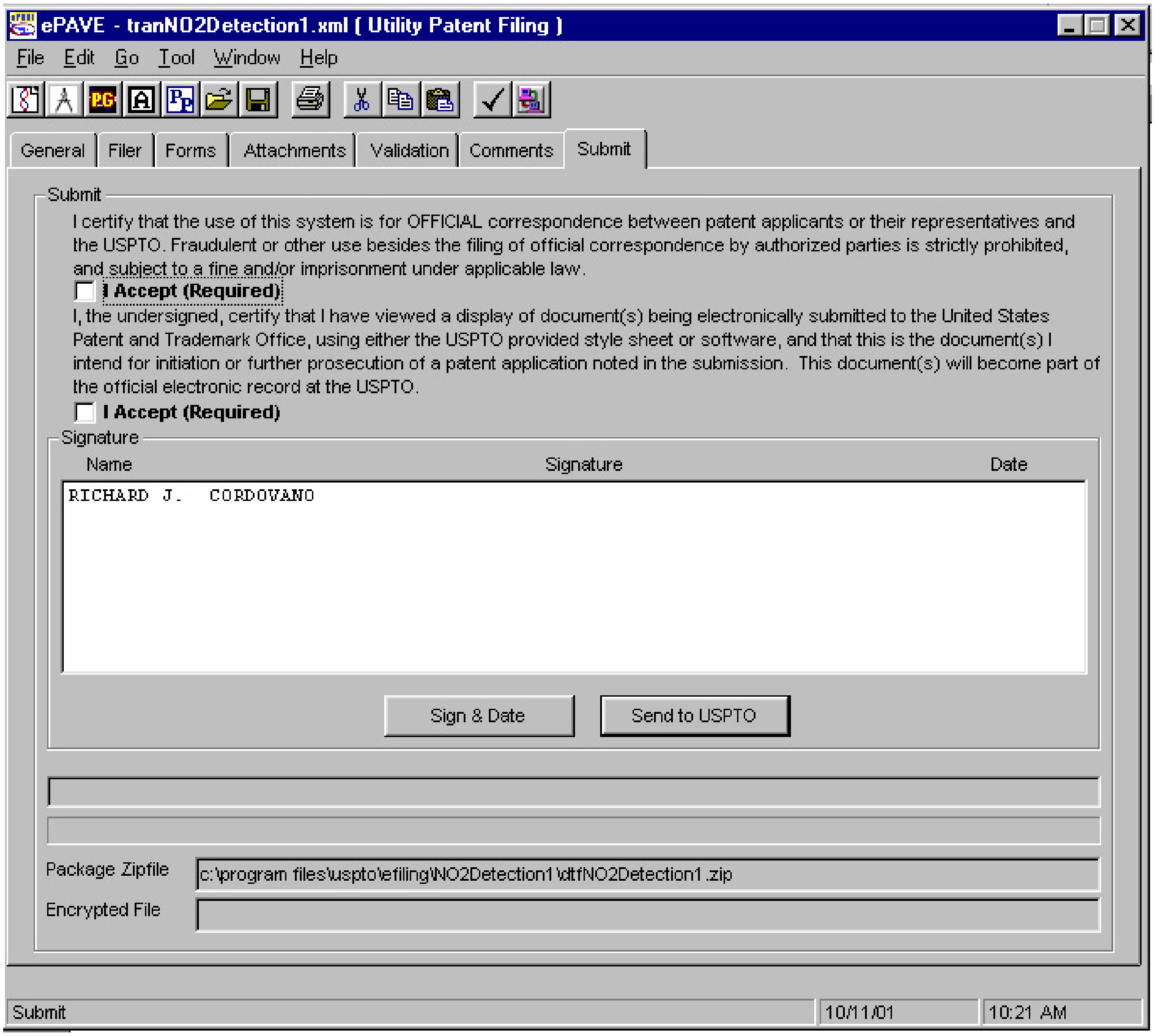


Figure 74: Submit Tab

Fields and Buttons on the Submit Tab

The following table explains the fields and buttons on the **Submit** tab:

Field or Button	Action or Function	Required or Optional
I Accept	You must read each of these two statements and click each of the two corresponding boxes to indicate your acceptance, placing a check mark in each box. To remove a check mark	Required

Field or Button	Action or Function	Required or Optional
	from a box, click the box again.	
Name	This column lists the filers associated with the submission.	
Signature	This column shows the electronic signature of each filer once the filer has signed the submission.	
Date	This column lists the date that each filer signed the submission.	
Sign and Date	Click this button after you select your name from the filers list to sign and date the submission.	
Send to USPTO	Click this button to submit your filing to the USPTO.	
Package Zipfile	This field shows the location of your zipped submission package.	
Encrypted File	This field shows the location of the encrypted submission package.	

Signing Your Submission

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

Use the following procedure to sign the document:

1. Click the **Submit** tab to go to the **Submit** page.

2. Read the first legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

3. Read the second legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

4. Select your filer name in the **Signature** field.

5. Click the **Sign & Date** button.
   The **Signature** dialog box for the filer that you selected opens.

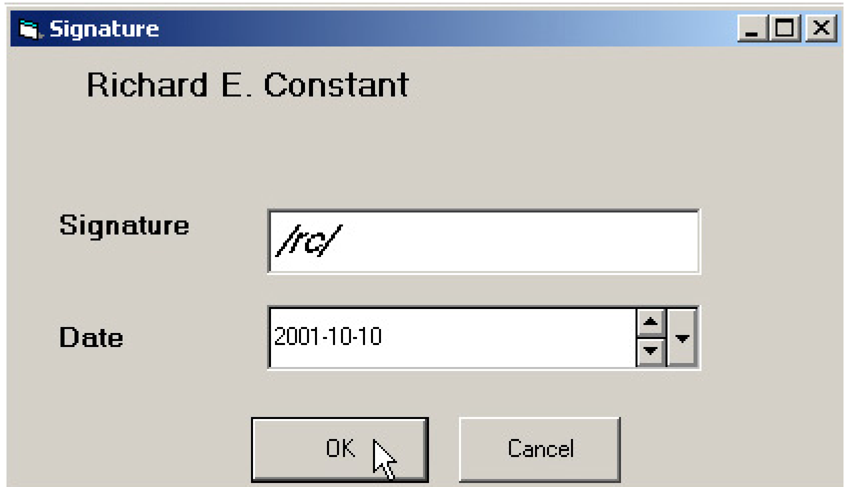


Figure 75: Signature Box with Electronic Signature

6. Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the **Signature** field.

7. Enter the signing date in the **Date** field. You can change the date using the up and down arrows.

8. Click **OK** to accept this signature or click **Cancel** to return to the previous screen.

9. Repeat **Step 4** through **Step 8** for each filer

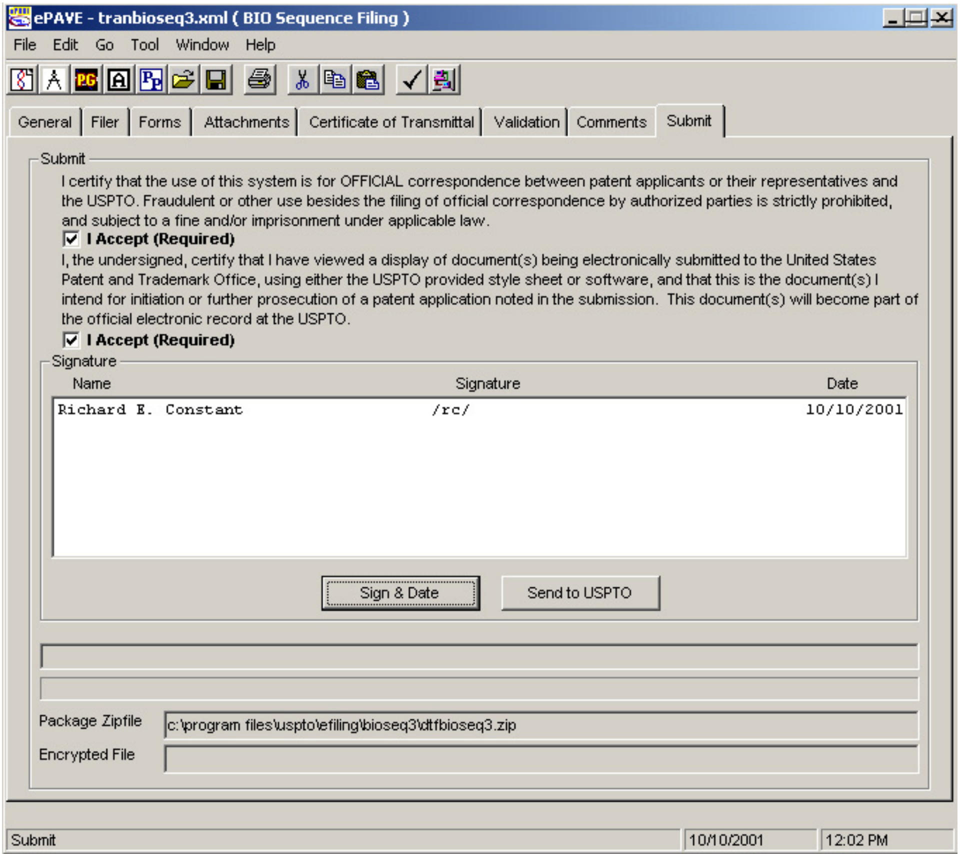


Figure 76: Submit Tab Reflecting an E-signature

Sending Your Filing to the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet.

Use the following procedure to start the submission process:

1. If you are using a dial-up modem, make sure that your Internet connection is still active.

2. Click on the **Send to USPTO** button on the **Submit** tab.

3. If you do not receive any error messages, go to *Digital Certificate Login on page 123*.
   If you receive an **Invalid Submission Warning** message, go to *Validation Override on page 122*.
   If you receive an error message stating that the submission exceeds 10MB, go to *Filing Large Submissions on CD on page 32*.

Validation Override

The ePAVE software will allow you to override certain validation errors. USPTO strongly discourages overriding validation errors, since this may affect the completeness of your submission and may affect the USPTO’s ability to properly match the submission with the appropriate application or Patent.

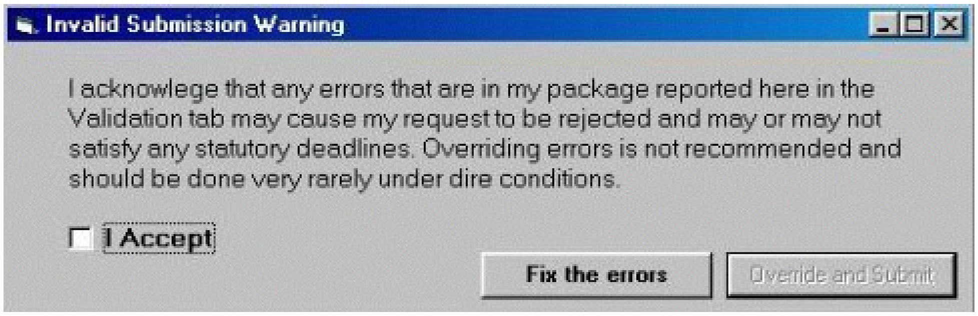


Figure 77: Invalid Submission Warning Override

You can only override certain types of errors. Errors such as a missing serial number, a missing signature, or inappropriate file type extension on an attachment must be corrected prior to uploading.

NOTE: The validation override is not applicable to pre-grant publication submissions.

To return to the ePAVE data entry screens and correct the outstanding errors, use the mouse to click on the **Fix the Errors** button.

Use the following procedure to override the ePAVE validation errors and submit the package to the USPTO:

1. Use the mouse to check the **I Accept** box after reading the warning message text to acknowledge that the warning message has been read. Checking this box will enable the **Override and Submit** button. If you have erroneously checked this box, you can deselect it by clicking on the box again with the mouse.

2. Click on the **Override and Submit** button to continue the submission despite the errors.

3. ePAVE bundles your submission. If successful, you will receive a confirmation message.

Figure 78: Confirmation Message

4. Click **OK**.

NOTE: If you receive an error message stating that your submission exceeds 10MB, see ***Filing Large Submissions Using Compact Discs on page 32*****.**

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the Entrust profile and password that you designated when you created your digital certificate using the USPTO Direct security software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

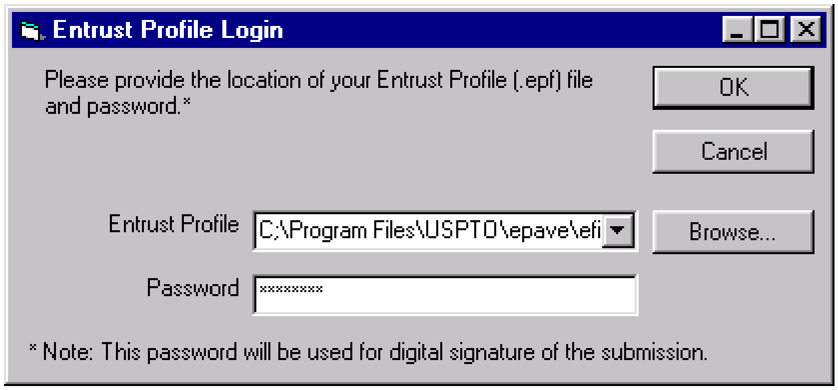


Figure 79: Entrust Profile Login

Use the following procedure to authenticate the digital certificate and send your package:

1. Click the **Browse** button to locate your profile in your directories.

2. Select the profile.
You return to the Entrust Profile Login dialog box.

3. Enter the password for that profile in the **Password** field.

4. Click **OK**.

Acknowledgement Receipt

After the package has been transmitted to the USPTO, the USPTO server dates and timestamps the package, and uses digital signature technology to verify that the contents of the package have not been altered in transit. The USPTO server also returns information to ePAVE that ePAVE then uses to create your Acknowledgement Receipt—including a unique EFS Transaction ID and the date and time received at USPTO.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site, www.USPTO.gov/ebc, for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for new utility patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility patent application.

If a biosequence listing filed using EFS is unusable, the applicant will be promptly notified by phone, fax, or e-mail depending on the correspondence and application information provided by the applicant to USPTO. If

subsequent filings are unreadable or unusable, the applicant or practitioner is sent a notification as is current practice.

NOTE: For subsequent filings, the application serial number that appears on the receipt is the same application number that you entered on the General tab.

The following figure shows an example of an **Acknowledgement Receipt**:

```
                    Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:
  transmittal                tranNO2DETECTING.xml 5280 Bytes
  declaration                declarationpage1.tif 52308 Bytes
  fee-transmittal            NO2DETECTINGfee.xml 1676 Bytes
  fee-transmittal            u-feetra.dtd 37433 Bytes
  fee-transmittal            e-feetra.xsl 14863 Bytes
  specification              Sample4.xml 23427 Bytes
  specification              u-specif.dtd 106427 Bytes
  specification              specif.xsl 33130 Bytes
  specification              fig1.tif 26680 Bytes
  specification              fig2.tif 17744 Bytes
  specification              fig3.tif 13792 Bytes
  bibd-transmittal           NO2DETECTINGapdx.xml 2777 Bytes
  bibd-transmittal           u-bibdat.dtd 35690 Bytes
  bibd-transmittal           e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKKk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO
```

Figure 80: Acknowledgement Filing Receipt

Fields on the Acknowledgement Filing Receipt Tab

The following table explains the fields on the **Acknowledgement Filing Receipt** tab:

Table 20: Fields on the Acknowledgement Filing Receipt Tab

Field	Action or Function
Serial Number:	This field shows the application (serial) number that you either entered on the **General** tab for biotechnology sequence listings and pre-grant publication submissions, or that was returned to ePAVE from the EFS server after successful submission of a new utility Patent application filing.
First Named Inventor:	This field shows the name of the first named inventor that you entered on the **General** tab.
Title of Invention:	This field shows the title of the invention that you entered on the **General** tab. You cannot enter a mathematical formula or chemical formula as part of the title of invention.
File Listing:	This field shows an itemized listing of all files that were included in the submission package sent to the USPTO, including the file size.

Field	Action or Function
EFS ID:	This field shows the unique ID number that the USPTO server assigned to your submission.
File Size:	This field shows the size of the encrypted and zipped submission package file that the USPTO received.
Timestamp:	This field shows the date and time the USPTO officially received the package, as indicated on the EFS server timestamp.
Upload Status:	This field shows the status of your upload. A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity is not verified as intact, an error message is shown in this field.
Response File (.rsp)	This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

CREATING A NEW UTILITY PATENT APPLICATION SUBMISSION

Use the following procedure to begin creating a **New Utility Patent Application** submission:

1. Launch ePAVE by clicking on the **ePAVE** icon on your desktop, or by double-clicking **ePAVE.exe**.
ePAVE launches and the ePAVE window appears on your computer.

2. Go to the **File** menu and select **New**.
A submenu listing the types of submissions that you can create appears.

3. Choose **New Utility Patent Application** from the submenu.
The **New Submission** window appears.

4. Enter the name that you want to use to identify the submission folder for your new submission in the **Submission Folder** field. You can also specify the location of this folder by browsing in the directory on the left side of the window.

The ePAVE software will automatically save files for this submission in this folder. This folder may include the XML (eXtensible Markup Language) transmittal document, a fee XML document, an application data XML document, an assignment XML document, an error log containing any validation errors, the Acknowledgment Receipt received from the USPTO, and both an encrypted and zip file containing the package of the entire submission you will send to the USPTO.

NOTE: You can not begin creating a new submission unless you have created a new folder for that submission and related documents.

5. Click **OK**.
ePAVE creates a new submission folder where all forms and attachments related to this submission are stored, and opens the tab screens that you will use to complete your **New Utility Patent Application** submission.

6. Complete the required fields on each of the tab screens that are shown in the ePAVE window—**General**, **Filer**, **Forms**, **Attachments**, **Certificate of Transmittal**, **Validation**, **Comments**, and **Submit**.
For details about each of these screens, see the following sections.

NOTE: While many of the components of a provisional patent application submission are similar to a new utility application, provisional patent applications are unlike new utility application in that they are not published.

A case study based on a new utility application filing is provided after this section. It is intended to detail the steps prior to and during authoring the patent application specification document, creating the necessary transmittal forms and coversheet, and transmitting electronically all developed documents.

General Tab

The **General** tab is the first screen that you complete when authoring a new utility patent application submission. Use the following procedure to complete the **General** tab:

1. Enter your email address in the **Email address** field.

2. Complete the fields in the **Application Data** section of the screen. For more information about these fields, *see Fields and Buttons on the General Tab on page 128*.

Fields and Buttons on the General Tab

The following image shows the **General** tab.

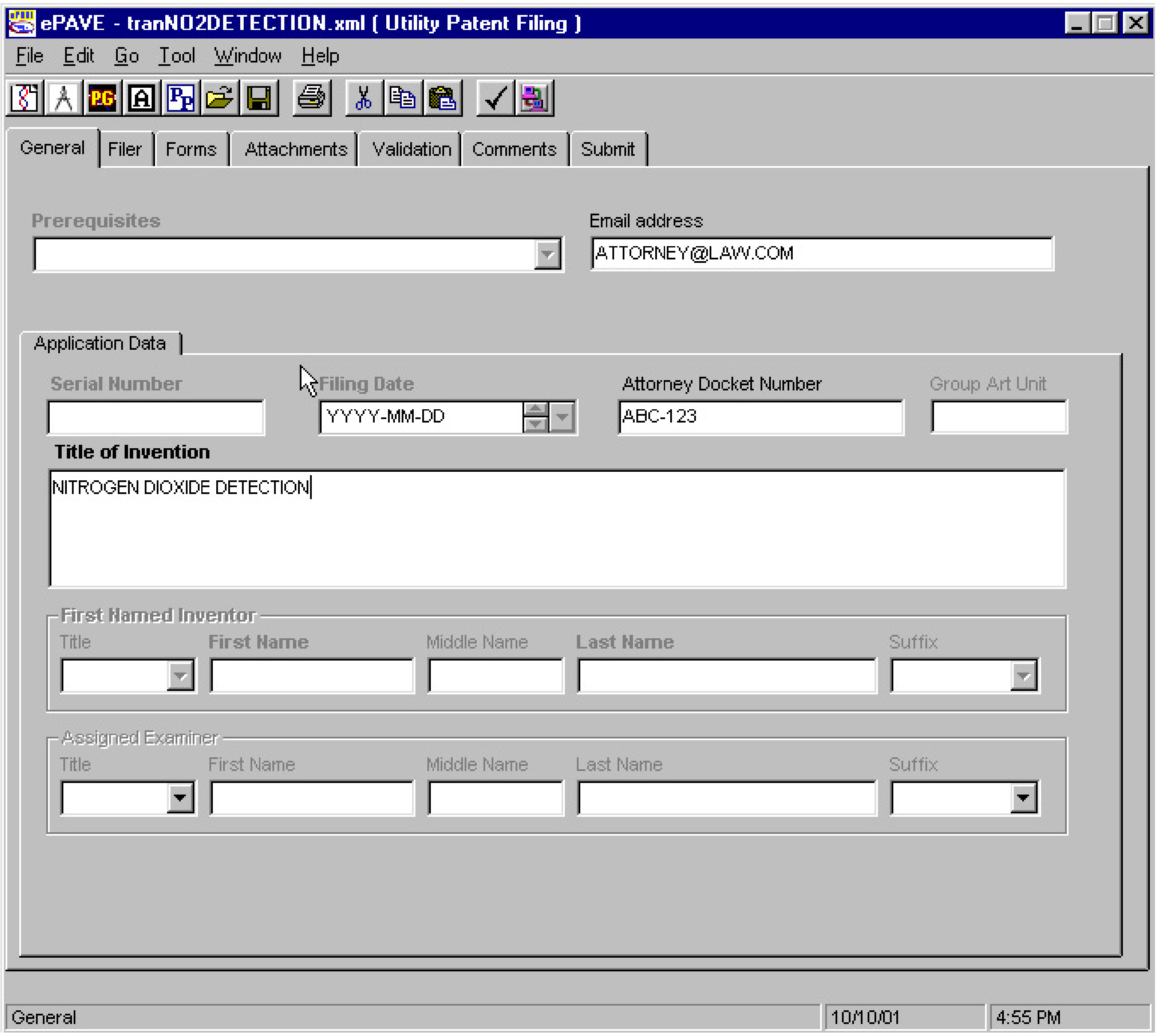


Figure 81: General Tab for Provisional Application

The following table describes the fields that are available on the **General** tab:

NOTE: The first cursor on the General tab for a new utility application will appear in the Email Address text field since this is the starting point for entering application information on this tab screen. The Prerequisites selections on the General tab screen do not apply to a new utility patent application filing or provisional patent application submission.

Table 21: Fields on the General Tab

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail)address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	Optional
Serial Number	This field does not apply to new utility patent application filings	N/A
Filing Date	This field does not apply to new utility patent application filings	N/A
Attorney Docket Number	Enter the reference number that you want to use to identify your application. This number is not assigned by the USPTO, and can be any number of your choice.	Optional
Group Art Unit	This field does not apply to new utility patent application filings	N/A
Title of Invention	Enter the full title of the patent application for which you are submitting this filing. Include all spaces and punctuation.	Required
First Named Inventor	Enter the name of the inventor that is listed first in the declaration of the application for which you are filing this submission.	Required
Title	Enter a courtesy title for the First Inventor, such as Mr., Mrs., Ms., Dr., etc.	Optional
First Name	Enter the first or given name of the First Inventor.	Required
Middle Name	Enter the middle name of the First Inventor.	Optional
Last Name	Enter the family or surname of the First Inventor.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the First Inventor.	Optional
Assigned Examiner	This field does not apply to new utility patent application filings	N/A
Title	This field does not apply to new utility patent application filings	N/A
First Name	This field does not apply to new utility patent application filings	N/A
Last Name:	This field does not apply to new utility patent application filings	N/A

Filer Tab

The following figure shows the **Filer** tab, which is the screen where ePAVE requests information about the person or entity that signs the transmittal.

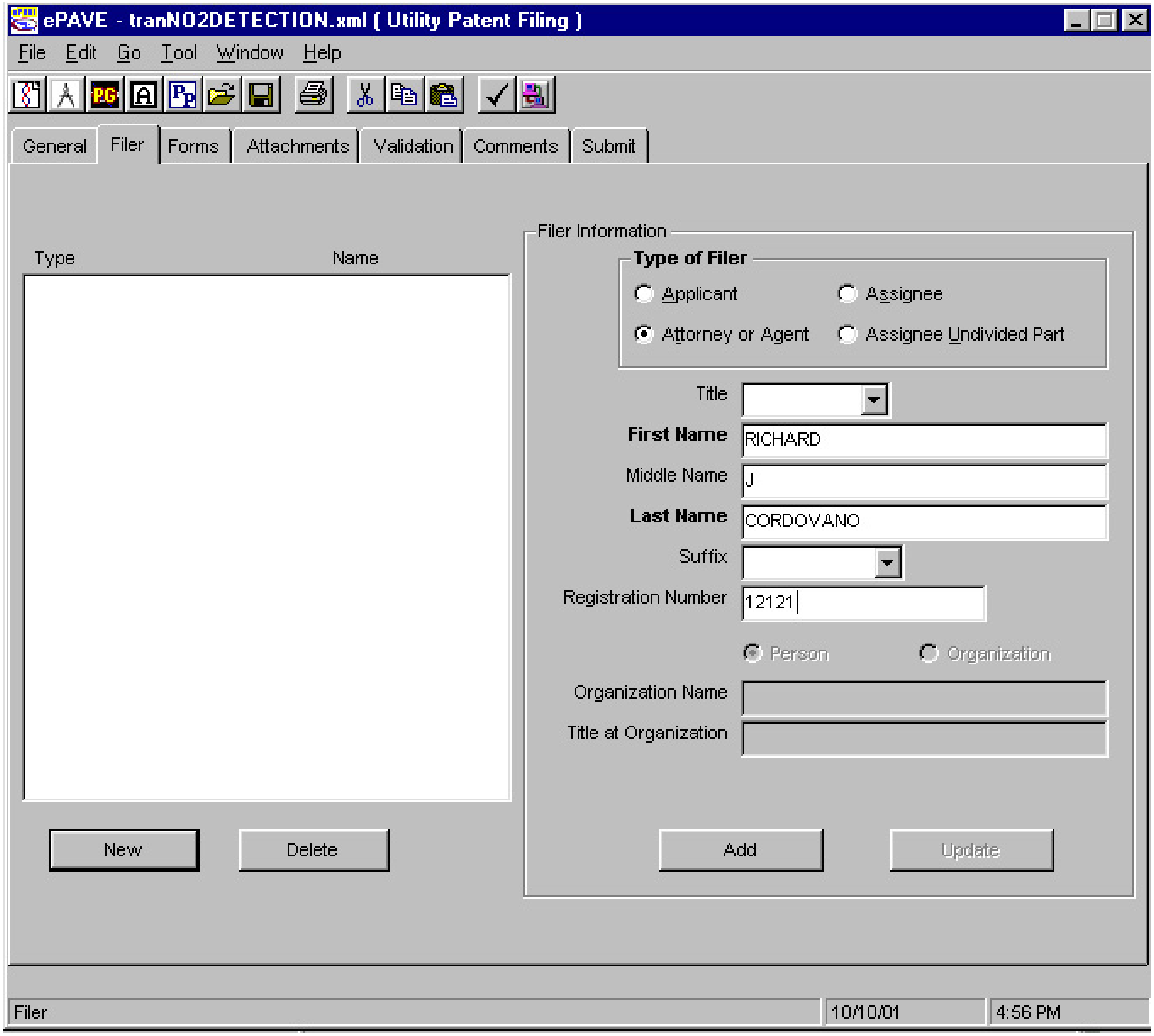


Figure 82: Filer Tab

The fields on this screen vary depending on the type of filer that you specify. The filer information that you enter on this screen becomes part of the transmittal form that ePAVE automatically produces as an XML form document.

In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations who sign the transmittal on behalf of another party. If you are filing as an organization, you must also provide the Organization name and the Title at Organization of the person signing the application.

The following combinations of filers are acceptable: 1 or more attorney(s) or agent(s), 1 assignee only, 1 or more applicant(s) and assignee(s) of undivided part.

Fields and Buttons on the Filer Tab

The following table lists the fields and buttons on the **Filer** tab, and also describes the information that you must enter into each field and the function of each button.

Table 22: Fields and Buttons on the Filer Tab

Field or Button	Action	Required or Optional
New	Click this button to clear all of the fields on the **Filer** screen and begin creating a new filer.	N/A
Delete	Click this button to delete a filer after you highlight that filer in the list of filers.	N/A
Applicant	Click this button to identify the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.	Required - you must select one of these radio buttons.
Assignee	Click this button to identify the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Attorney or Agent	Click this button to identify the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).	
Assignee Undivided Part	Click this button to identify the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the filer.	Optional
First Name	Enter the first or given name of the filer.	Required
Middle Name	Enter the middle name of the filer.	Optional
Last Name	Enter the family or surname of the filer.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the filer.	Optional
Registration Number	Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s).	Optional
Person	Select this option if the assignee filing this transmittal is a person.	Required only when the Filer is identified as an

Field or Button	Action	Required or Optional
Organization	Select this option if the assignee filing this transmittal is a business entity or non-profit institution.	Assignee. You must select either **Person** or **Organization**.
Organization Name	Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution.	**Organization Name** and **Title at Organization** are required fields when the **Assignee** is an organization.
Title at Organization	Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization.	
Add	Click this button to add the new filer after you have completed the fields on the **Filer** screen.	
Update	Click this button to update the **Filer** information.	

Creating a New Filer

Use the following procedure to create a new **Filer**:

1. Click the **Filer** tab to go to the **Filer** screen.
   ePave opens the **Filer** screen.

2. Select the type of filer by clicking the appropriate radio button in the **Type of Filer** section.
   ePAVE deactivates any fields that are not required for the type of filer that you have selected.

3. Complete the remaining fields in the **Filer Information** section. For more information about these fields, see ***Fields and Buttons on the Filer Tab on page 42.***

NOTE: If the new filer is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons to indicate whether this assignee is an actual person or a business or non-profit entity.

4. Click the **Add** button.
   The filer is added to the list of filers shown on the left side of the screen.

5. Repeat **Step 2** through **Step 4** for any additional filers.

The following figure shows the **Filer** tab after a new filer has been added.

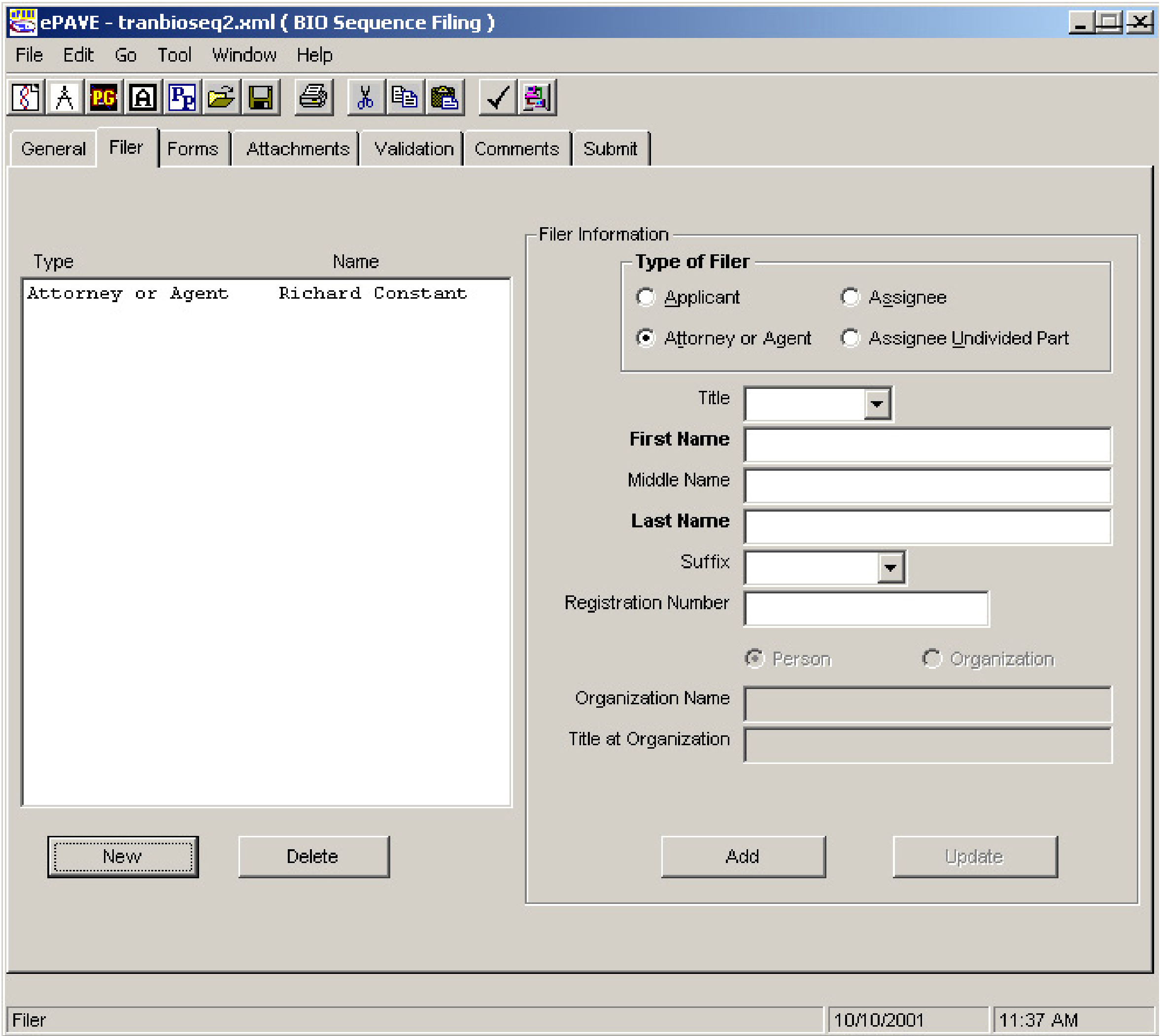


Figure 83: Updated Filer Tab

Changing Filer Data

ePAVE allows you to change the filer information for filers that you have already added. Use the following procedure to change filer information:

1. Go to the **Type/Name** field, and click the name of the filer that you want to edit. The current information for the selected filer appears in the **Filer Information** fields.

2. Enter any changes in the appropriate fields.

3. Click the **Update** button to update the filer information with your changes.

Deleting a Filer

ePAVE allows you to remove filers from the list of filers. Use the following procedure to remove a filer:

1. Click the name of the filer that you want to delete in the filers list, shown in the **Type/Name** field on the left side of the screen.

2. Click the **Delete** button. The filer is removed from the list of filers, and all of the information about this filer is deleted.

Forms Tab

The following figure shows the **Forms** tab, which has two sections—**Form Description and Usage** and **Simple Form List**. The **Form Description and Usage** section displays text that describes the selected form and its intended use. The **Simple Form List** section of the screen shows all forms that are available for electronic filing in the **Available Forms** list, and shows forms in the EFS submission folder that you have selected to send to USPTO during your electronic filing transaction in the **Selected Forms** list.

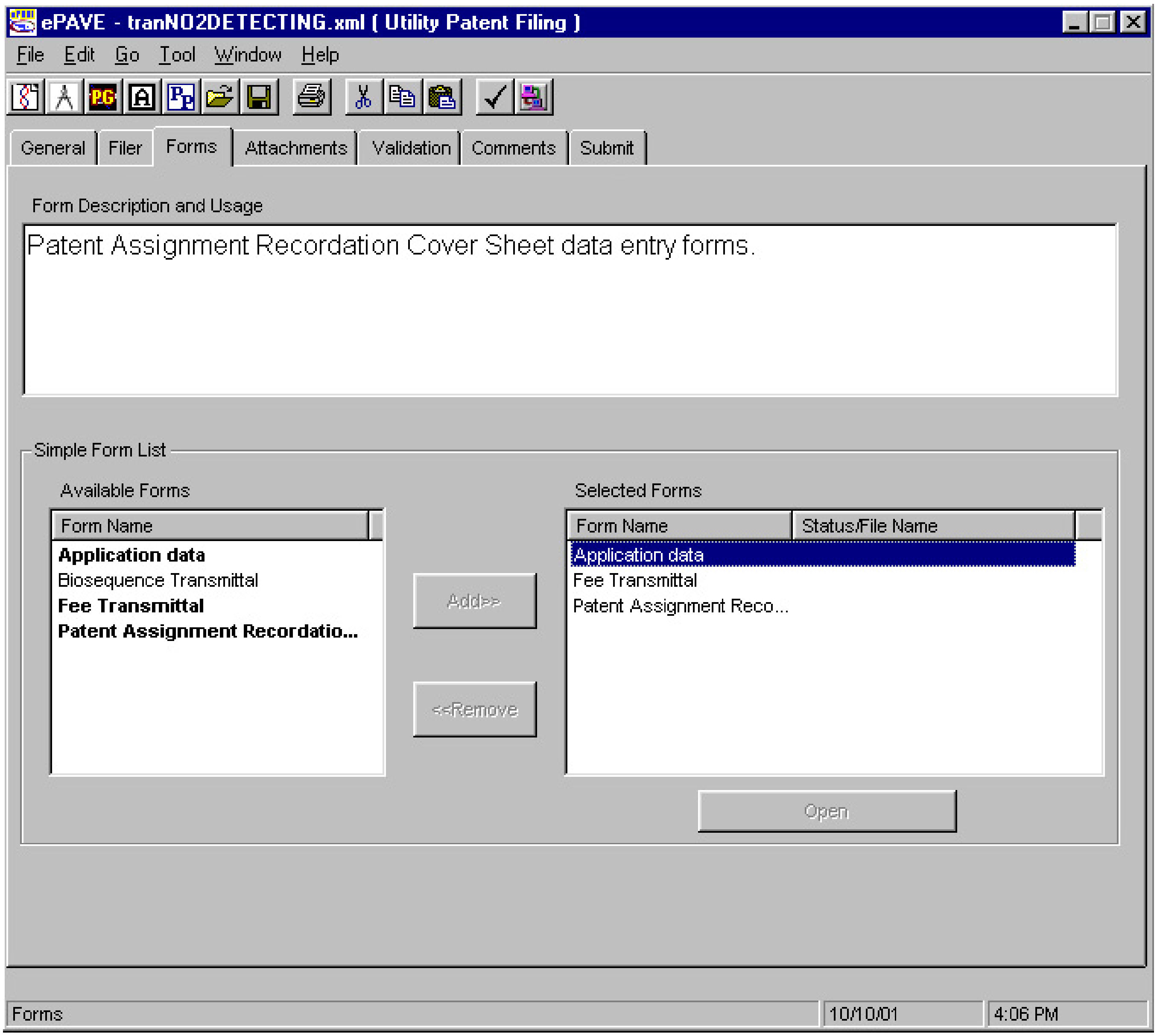


Figure 84: Forms Tab

Since you are filing a new utility application, the **Application Data** and **Fee Transmittal** forms are required and are therefore shown in bold letters in both the **Available Forms** and **Selected Forms** lists. When a form title appears in bold letters, it indicates that the form is required for the type of patent application submission electronic filing you are creating. When you click on the name of a form in either the **Available Forms** list or **Selected Forms** list, a description of the form and its usage appear in the **Form Description and Usage** text display box.

Fields and Buttons on the Forms Tab

The following table lists the fields and buttons on the **Forms** tab, and also describes function of each field and button.

Table 23: Field and Buttons on the Forms Tab

Field or Button	Action or Function	Required or Optional
Form Description and Usage	This field displays a description of a form when you highlight the form in the **Selected Forms** field or the **Available Forms** field.	N/A
Available Forms	This field lists all of the forms that are available for the type of application you are creating. Click on the name of a form to view a description of the form in the **Form Description and Usage** field.	N/A
Selected Forms	This field lists all of the forms that you have selected from the **Available Forms** list, and also lists any forms that are required for the type of application you are submitting.	N/A
Add	Click this button to add a form listed in the **Available Forms** list to the **Selected Forms** list.	N/A
Remove	Click this button to remove a form from the **Selected Forms** list.	N/A
Open	Click this button to open the form that you have highlighted in the Selected **Forms** list.	N/A

Adding a Form

Use one of the following procedures to add a form to the **Selected Forms** list:

1. Click on the name of the form that you want to add in the **Available Forms** list.

2. Click the **Add** button.
   The form is added to the **Selected Forms** list.

   OR

3. Double-click the name of the form that you want to add in the **Available Forms** list.
   The form is added to the **Selected Forms** list.

Completing the Application Data Form

The Title of the Invention as you entered it in the General Tab will appear in the Title of the Invention.

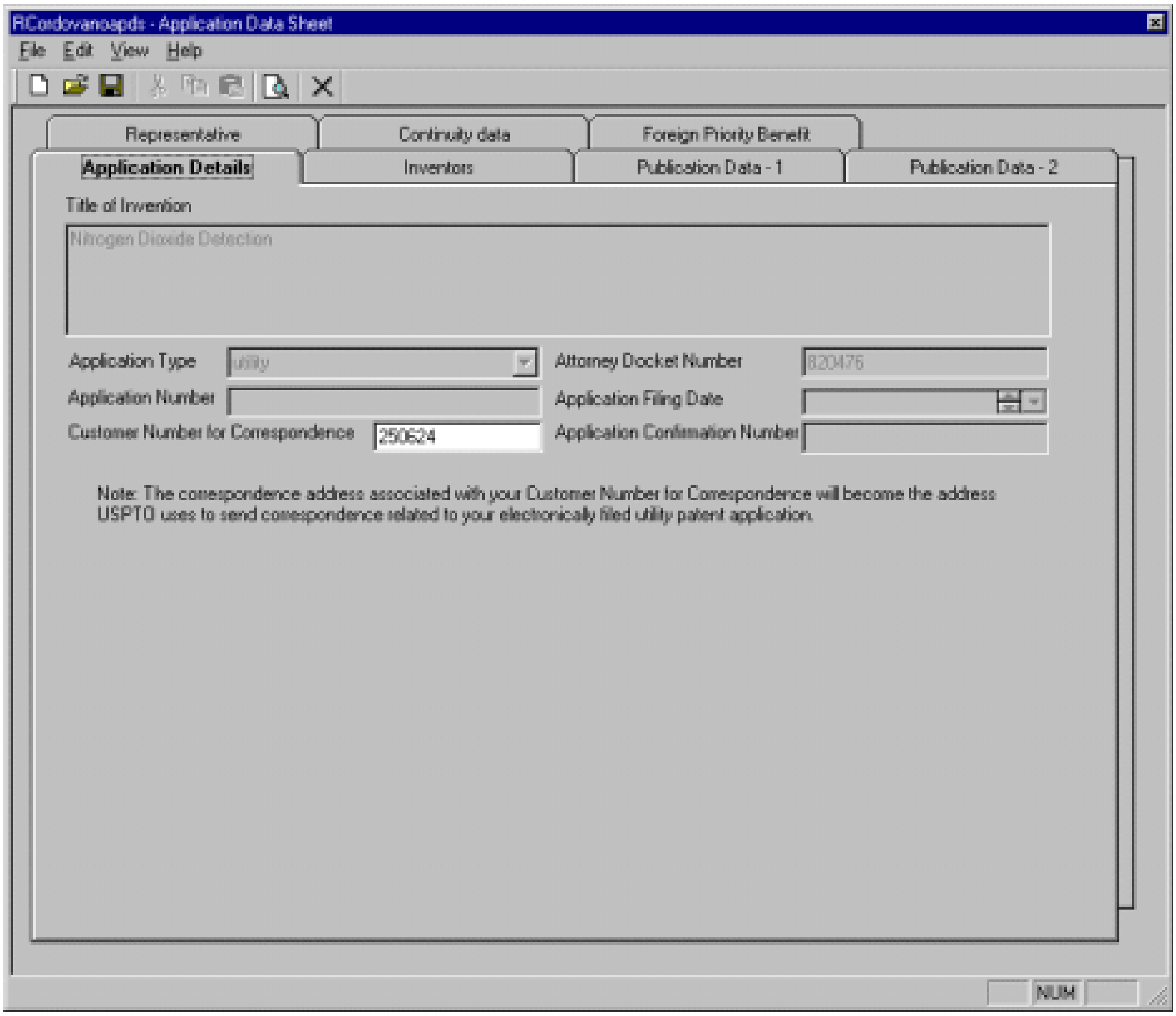


Figure 85: Application Data Tab – Application Details

1. Enter your Customer Number in the Customer Number for Correspondence. You must have a Correspondence Customer Number to make an electronic submission. You identify a customer number when you request a Digital Certificate. For information on obtaining a Customer Number, visit the Patents Electronic Business Center at www.uspto.gov.

ePAVE populates the Attorney Docket information from the General Tab.

A detailed description of each text field can be found in Appendix A of this user manual.

Inventors Tab

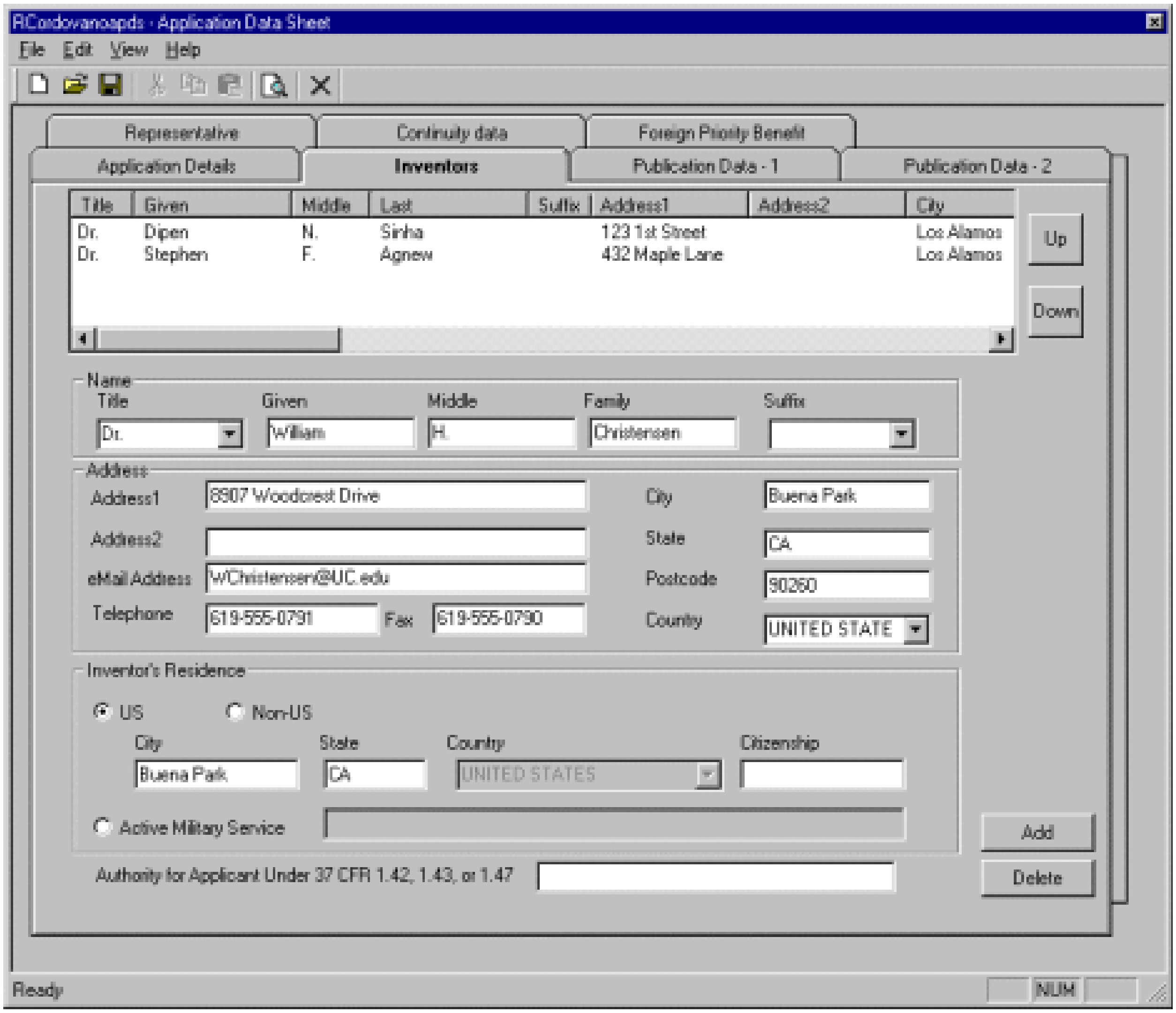


Figure 86: Application Data Form Tab - Inventors

To input First Inventor information:

1. Enter the name of the inventor that is listed first in the declaration of the Patent application for which this filing is being submitted (Required)
2. Enter the inventor's address.
3. Enter the inventor's residence (city, state, country) and citizenship. (Required)
4. Press the Add button and that inventor's name and address information will appear in the top field.
5. After entering the information for the first named inventor please repeat for each named inventor as appearing on the declaration of the Patent application.

In some circumstances an authorized individual may file an application for an inventor. These circumstances are covered by 37 CFR 1.42, 1.43, and 1.47. If this is such an instance, enter the necessary information indicated by rule.

To Delete an Inventor from the application data sheet, highlight the inventor's name and address in the top field, and press the **Delete** button.

To reorder the list of inventors, use the **Up** and **Down** buttons. Select one of the inventor's names in the list, then select **Up** to place that inventor's name to the top of the list or select the **Down** button to place the name currently listed first in the list in a lower position.

Publication Data - 1 Tab

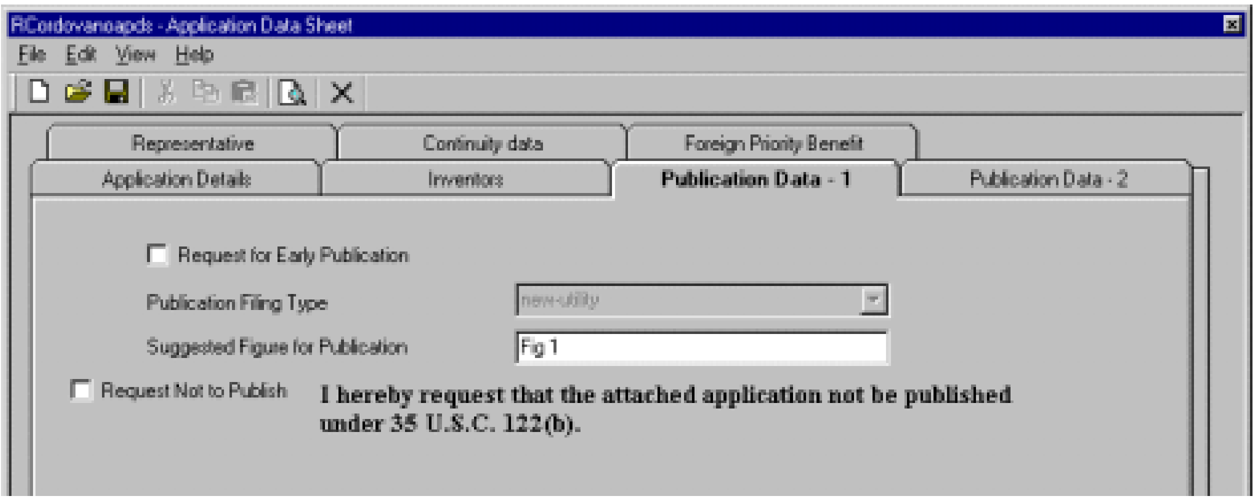


Figure 87: Application Data Form Tab - Publication Data - 1

When filing a new utility application, you may request early publication under 37 CFR 1.219 (prior to 18-months from earliest priority under 35 USC) by clicking the Request for Early Publication check box.

The publication filing type new utility is automatically entered when completing a new utility application electronic submission.

If you are electronically filing a new utility patent application or voluntary publication, select a suggested figure for publication on the front page of the Patent application Publication and enter it in the Suggested Figure for Publication field.

Alternatively, if you are filing a new utility application and you have not and do not plan to file it in another country or with an authority that publishes the application at eighteen months from filing you may make such a request by checking the Request Not to Publish box.

Publication Data – 2 Tab

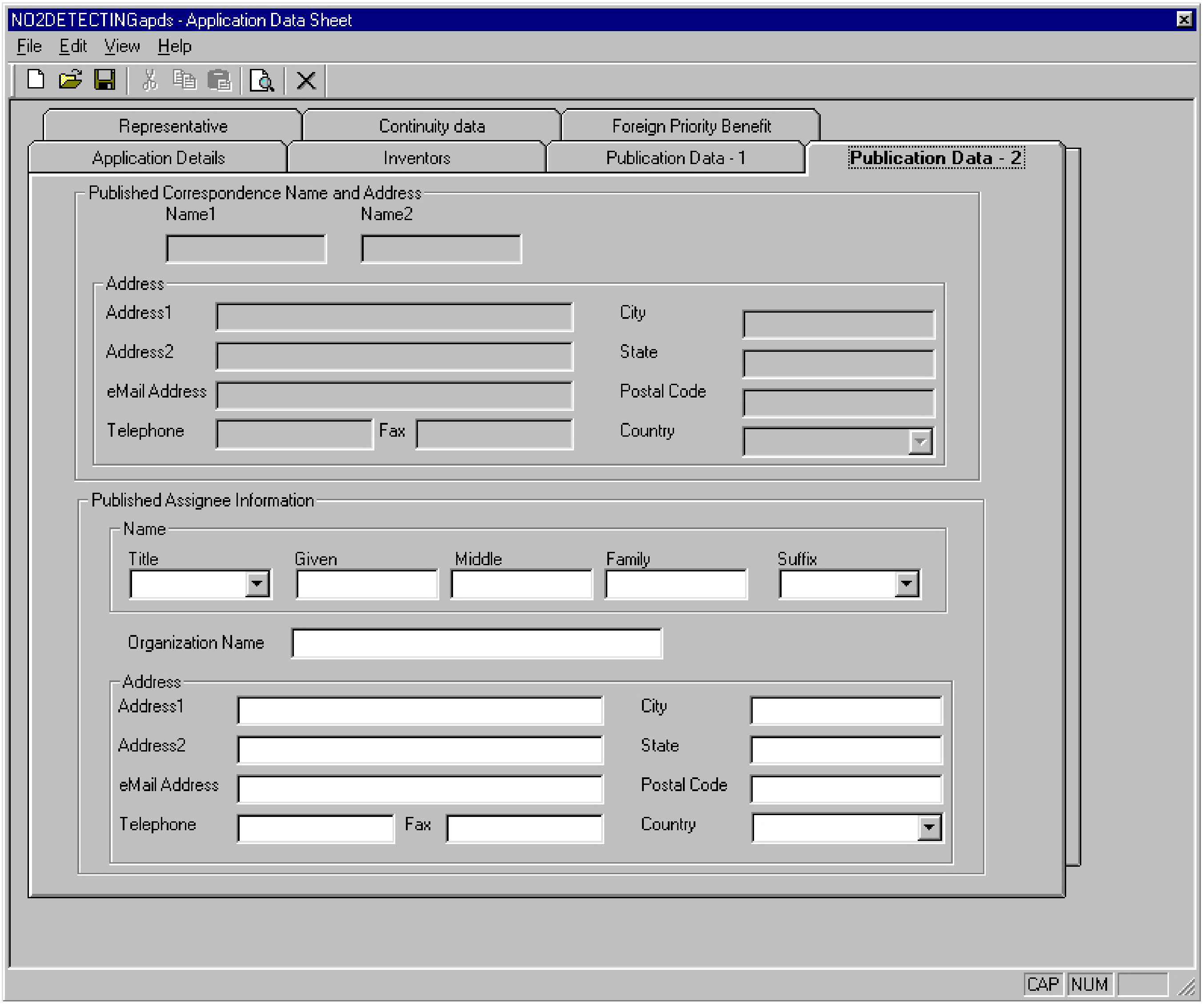


Figure 88: Application Data Form Tab - Publication Data – 2 Tab

This tab screen allows you to enter the Assignee Name and Address you would like to have USPTO publish as part of the Patent application Publication front page. The assignee name and address entered on this screen is for publication purposes only.

Representative Tab

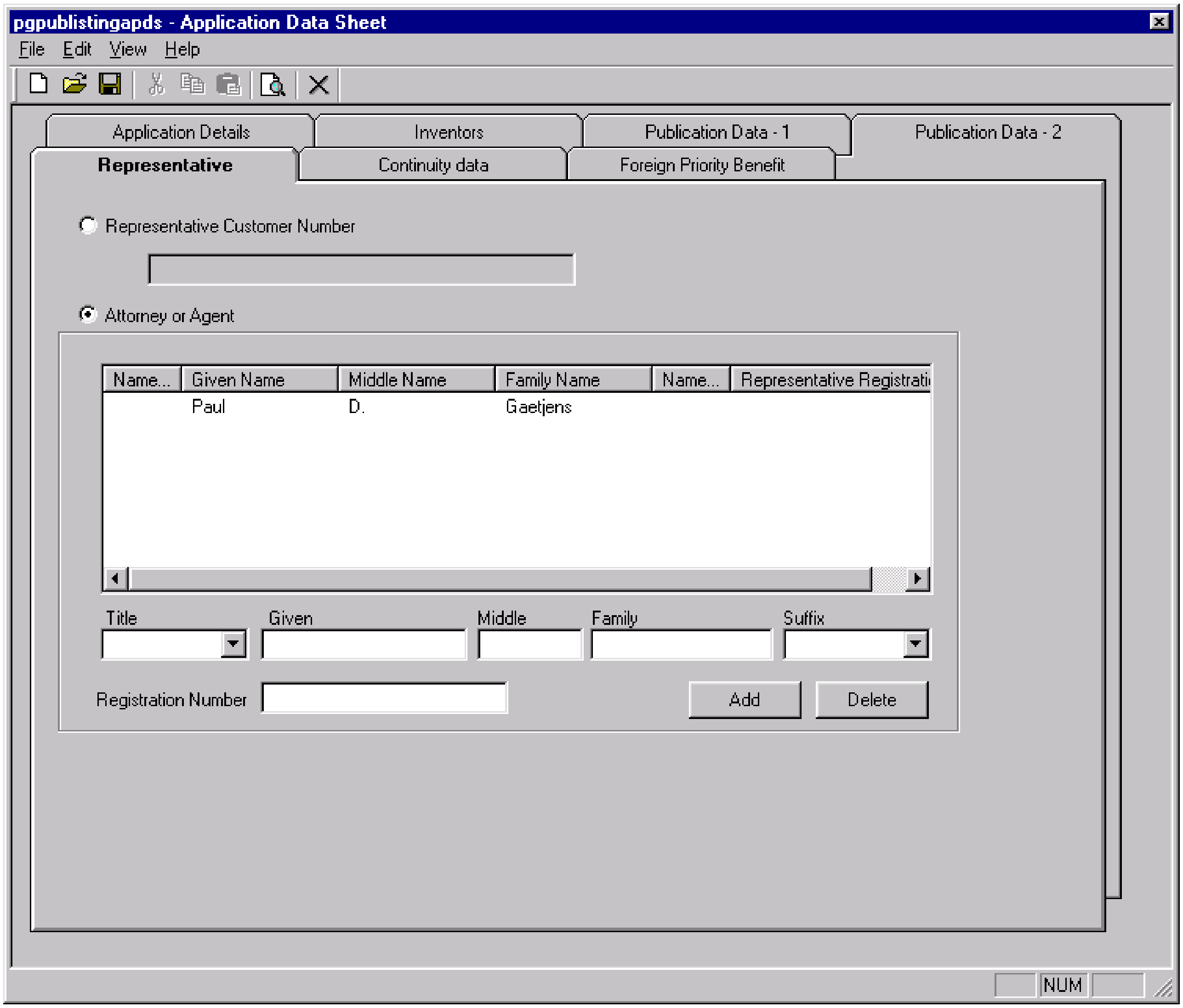


Figure 89: Application Data Form Tab - Representative

1. Click the **Representative Customer Number** (see Appendix A for definition) radio button and enter the customer number associated with the submission being filed in the field.
OR
If the representative is an attorney or agent, click the **Attorney** or **Agent** radio button and enter the attorney or agent name information in the name fields. Insert the attorney or agents registration in the **Registration Number** field.

2. Click the **Add** button to add that name and registration to the list of representatives.

To delete an attorney or agent from the list of representatives, highlight the name and click the **Delete** button.

Continuity Data Tab

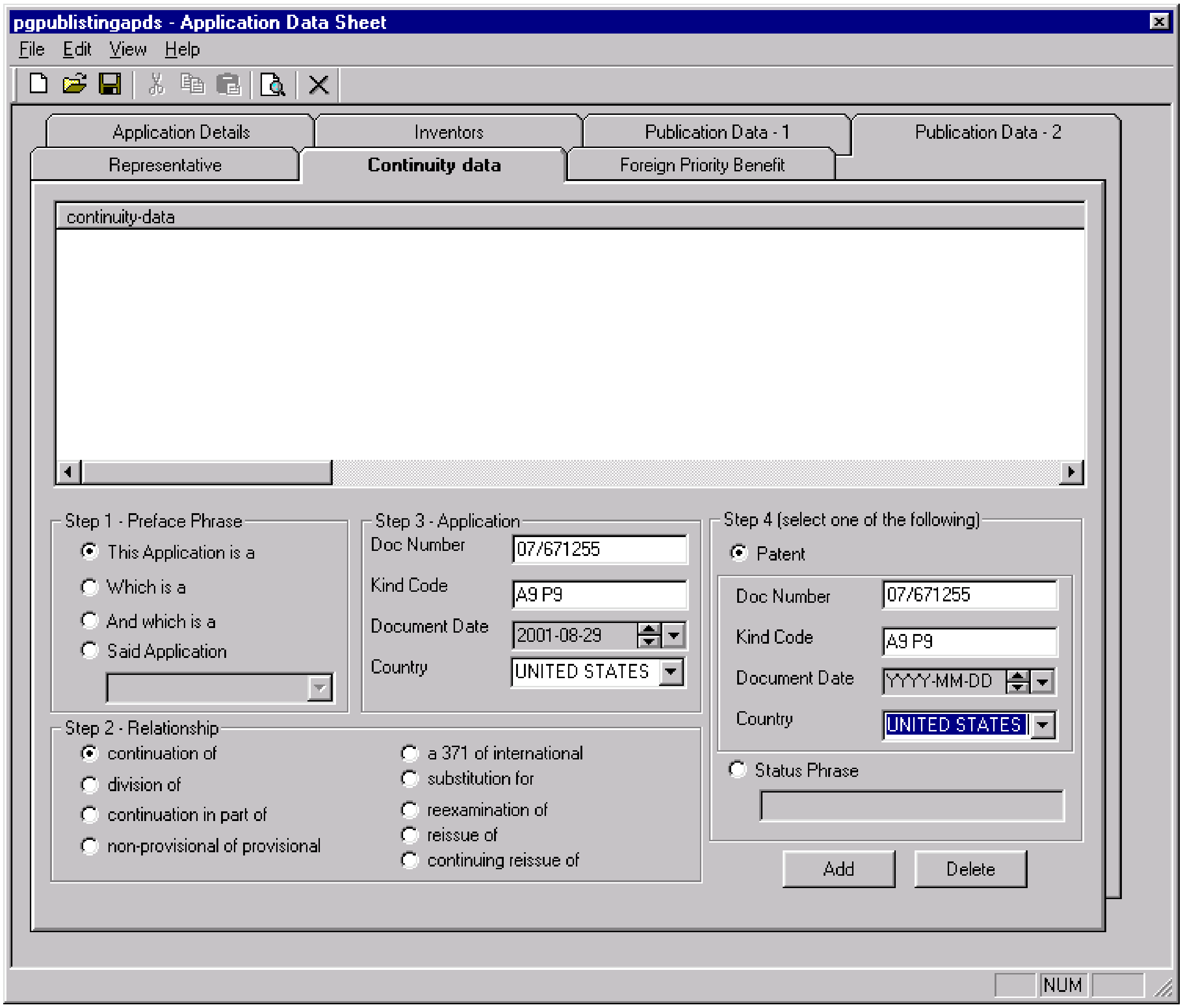


Figure 90: Application Data Form Tab -Continuity Data Tab

1. Select the phrase that you want to include in your continuity data from the choices in the Step 1 Preface Phrase portion of the tab.
2. Select the relationship that you wish to establish between the earlier field application and this submission from the Relationship portion of the tab.
3. Insert the application serial number for the related application in the Doc Number field. If the application has been published, insert the Kind Code of the publication in the Kind Code field. See MPEP Section 1851 for a description of Kind codes.

   A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16. This provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins:

- Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication
- New -utility A1 (published document)
- Note: not accepting new plant applications via EFS at this time
- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the filing date of the related application in the Document Date field.
5. Enter the country of filing in the country field.

If the related application has issued into a Patent, click the **Patent** radio button and enter the Patent number, its kind code, the Patent date and the country where it was Patented in the Step 4 portion of the tab.

If the related application did not issue as a Patent, click the **Status Phrase** radio button and insert the status of the application, usually pending or abandoned.

6. Click the **Add** button to include the data in the list in the parent field.
7. Repeat for any additional related applications.

To delete an application from the continuity data, highlight the entry to be deleted in the parent window and click the **Delete** button.

Foreign Priority Benefit Tab

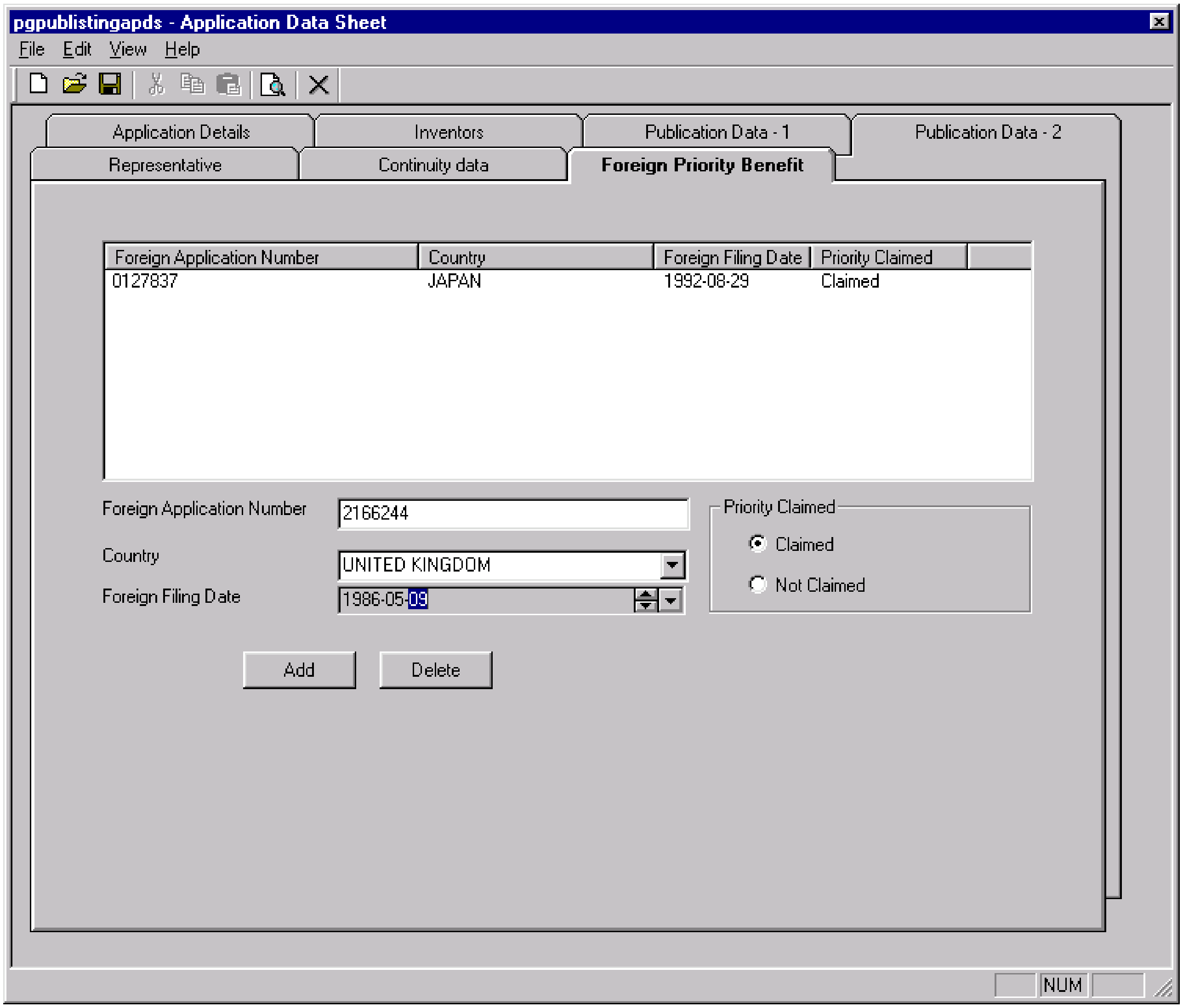


Figure 91: Application Data Form Tab -Foreign Priority Benefit Tab

1. Enter the application number of an associated foreign-filed application in the Application Number field.

2. Enter the country where the application was filed in the Filing Date field.

3. Enter the foreign filing date in the Filing date field.

4. Indicate whether or not foreign priority is claimed by selecting the appropriate radio button.

5. To add the application to the list of foreign priority application, click the **Add** button.

6. To delete a reference to a foreign-filed application, highlight the application in the list and click the **Delete** key.

7. Return back to the Forms Tab Screen.

To create a fee transmittal XML form, highlight the Fee Transmittal from the Selected Forms field and click on the **Open** button. This will take you to the Fee tab screens.

Completing a Fee Transmittal Form

Use the following procedure to complete a **Fee Transmittal** form:

1. Click on Fee Transmittal in the Selected Forms list.

2. Click the Open button.

Filer Status Tab

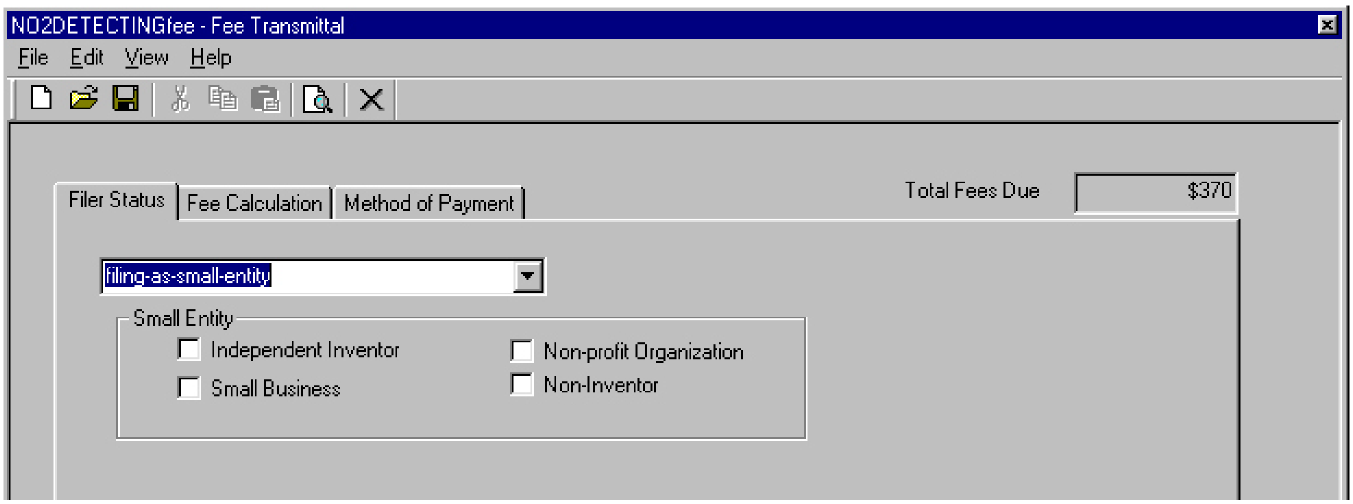


Figure 92: Fee Transmittal Screens - Filer Status Tab

Select the filer status from the drop down list. The Filer Status is defined by the classification of the person or entity filing the Patent. This is important, as it determines which schedule to use for fee calculation for provisional applications. A small entity is either an independent inventor, a small business, a non-profit organization, and/or a non-inventor.

Select either **Filing-as-small-entity** or **Filing-as-large-entity**.

If filing-as-small-entity is selected, two more pieces of information are required. At the bottom Filer Status drop-down box are 4 checkboxes. Select any or all of the ones that apply to the filer.

Fee Calculation Tab

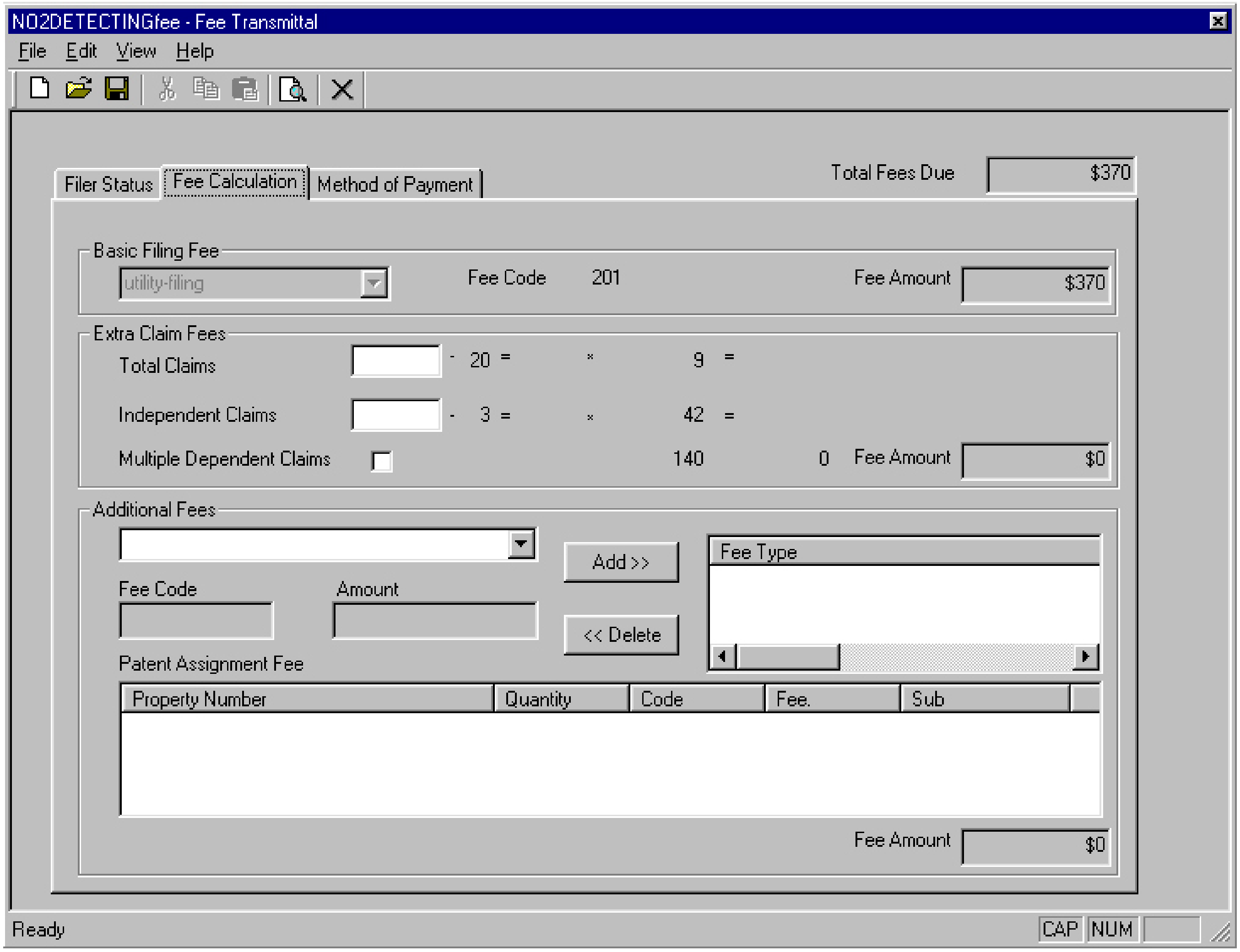


Figure 93: Fee Transmittal Screens - Fee Calculation Tab

The Fee Calculation tab is where the fees associated with the submission are calculated.

If a new application is being filed, select new utility from the Basic Filing Fee drop down list. The top most Fee Amount field is the Basic Filing Fee, a non-editable field that's value is determined by the Fee Type selected on the previous tab. For a provisional application filing, you may pay either a small entity fee or a large entity fee as applicable.

Next are the Extra Claim Fees. Up to 20 Total Claims and 3 Independent Claims can be requested for no additional fee. However, each additional claim or Independent Claim is charged to the total fee due, based once again on the entity size of the filer. Finally, a Multiple Dependent Claims checkbox is provided. An additional fee is charged if this is selected. Do not insert any information in these fields for pre-grant publication submissions.

Below the Extra Filing Fee section is the Additional Fees section. Select any additional fees required such as the processing fee for voluntary publication or the publication fee for any pre-grant publication submission from the drop down list. Click on the Add button to indicate that selected fee is due. The Fee code, amount of the fee and a description will appear in those fields. Repeat for each additional fee that is required.

To delete a Fee type, highlight that Fee in the Fee Type field and click **Delete**.

Method of Payment Tab

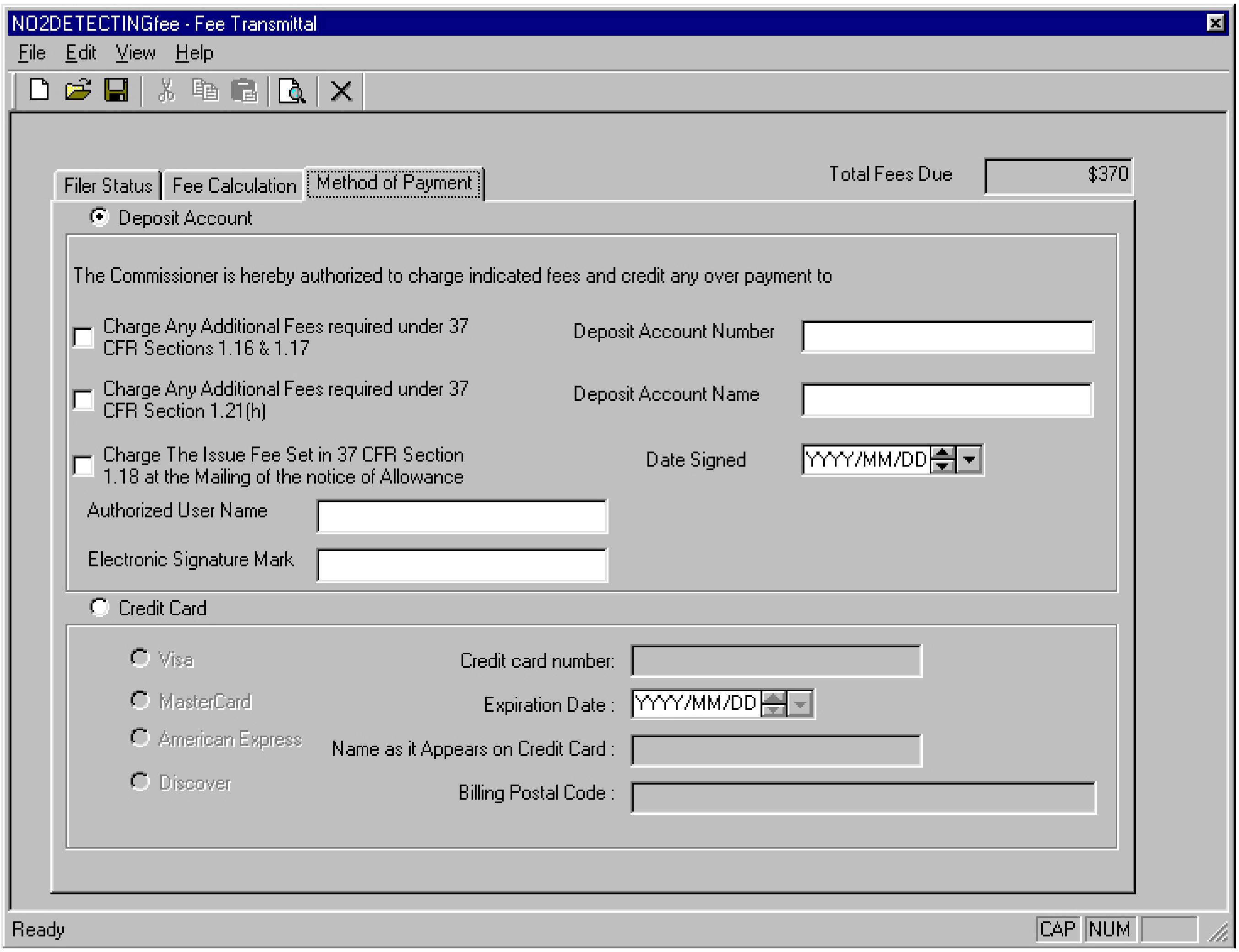


Figure 94: Fee Transmittal Screens - Method of Payment Tab

1. Select the payment method by clicking either the **Deposit Account** or **Credit Card** radio button. This provides the information the USPTO needs to collect the applicable fees for the Patent submission.

2. If you select **Deposit Account** as your payment type you may authorize USPTO to charge additional fees (as allowed by CFR sections cited next to each button) not calculated on this sheet at the time of submission by checking the checkboxes provided.

3. Enter Deposit Account Number & Name of the account that is to be charged by the USPTO.These fields are required for Deposit Account transactions.

4. Enter the name of the individual who is authorized to sign for use of deposit account, as well as the electronic signature of the authorized user in the fields provided for that data.

5. If you select **Credit Card** payment, indicate the card type by clicking on the radio button associated with it.

6. Enter the Credit card number, expiration date, the Name on the Credit Card and the Billing Address in the fields provided. The Deposit Account or Credit Card will be charged the amount that appears in the Total Fees Due field in the upper right-hand corner of the screen.

The Fee XML file will be created when the Fee Tab is closed.

Completing the Information Disclosure Statement Form

Up to 50 U.S. patents and 50 U.S. published patent applications citations may be included on each Information Disclosure Statement filed via EFS. Paper copies of U.S. patents and published applications are not required for electronically submitted Information Disclosure Statements as outlined in the EFS Legal Framework. The Examiner will be provided with a mechanism for accessing these documents electronically. Timely filed paper copies of foreign patent documents and non-patent literature must still be provided for consideration by the Examiner.

Citing a US Patent on the IDS

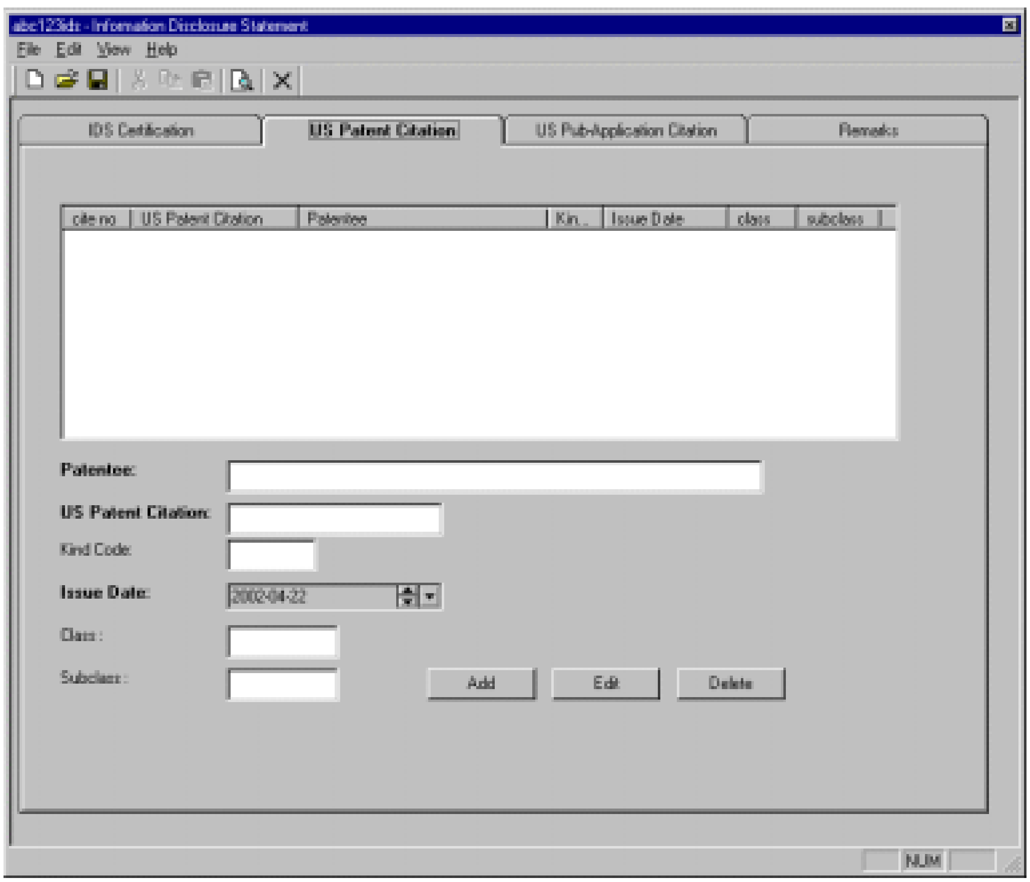


Figure 95: US Patent Citation Screen

To input a US patent citation:

1. Enter the patentee name in the Patentee field. (required)

2. Enter the US Patent number in the US Patent Citation field. (required)

3. Enter the Kind Code of the US patent in the Kind Code field. (optional)

A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16. This provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins:

- Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication
- New -utility A1 (published document)
- Note:(not accepting new utility plant applications via EFS at this time)
- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the issue date of the US patent in the Issue Date field. (required)

5. Enter the class and subclass where the patent is classified in the US patent classification in the class and subclass fields. (optional)

6. Click the **Add** button to add the US patent to the list of citations.

7. Repeat for each additional US. Patent. Up to 50 U.S. patents may be cited on each IDS.

To edit a citation highlight the Patent in the list. The previously entered information will appear in the fields. Edit the information as desired and click the **Edit** button to reenter the citation in the list.

To delete a citation, highlight the patent in the list and click the **Delete** button.

Citing a Published US Patent Application on the IDS

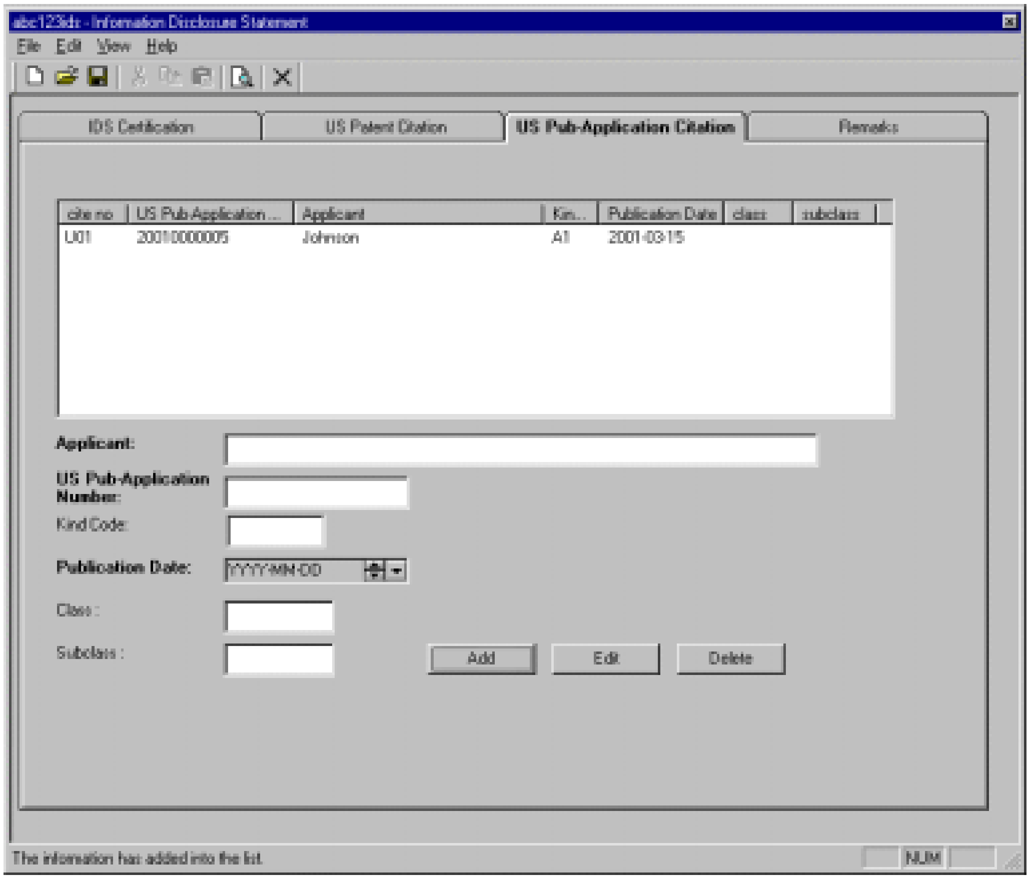


Figure 96: US Published Application Citation Screen

To input a US published patent application citation:

1. Enter the name of the published applicant in the Applicant field. (required)

2. Enter the US published patent application number in the US Pub-Application Number field. (required)

3. Enter the Kind Code of the US published patent application in the Kind Code field. (optional)

A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16. This provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins:

- Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication
- New -utility A1 (published document)
- Note:(not accepting new utility plant applications via EFS at this time)

- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the publication date of the US published patent application in the Publication Date field. (required)

5. Enter the class and subclass where the published patent application is classified in the US patent classification system in the class and subclass fields. (optional)

6. Click the **Add** button to add the US published patent application to the list of citations.

7. Repeat for each additional US published patent application. Up to 50 U.S. published patent applications may be cited on each IDS.

To edit a citation highlight the published application in the list. The previously entered information will appear in the fields. Edit the information and click the **Edit** button to reenter the citation in the list.

To delete a citation, highlight the published application in the list and click the **Delete** button.

Including Remarks in the IDS

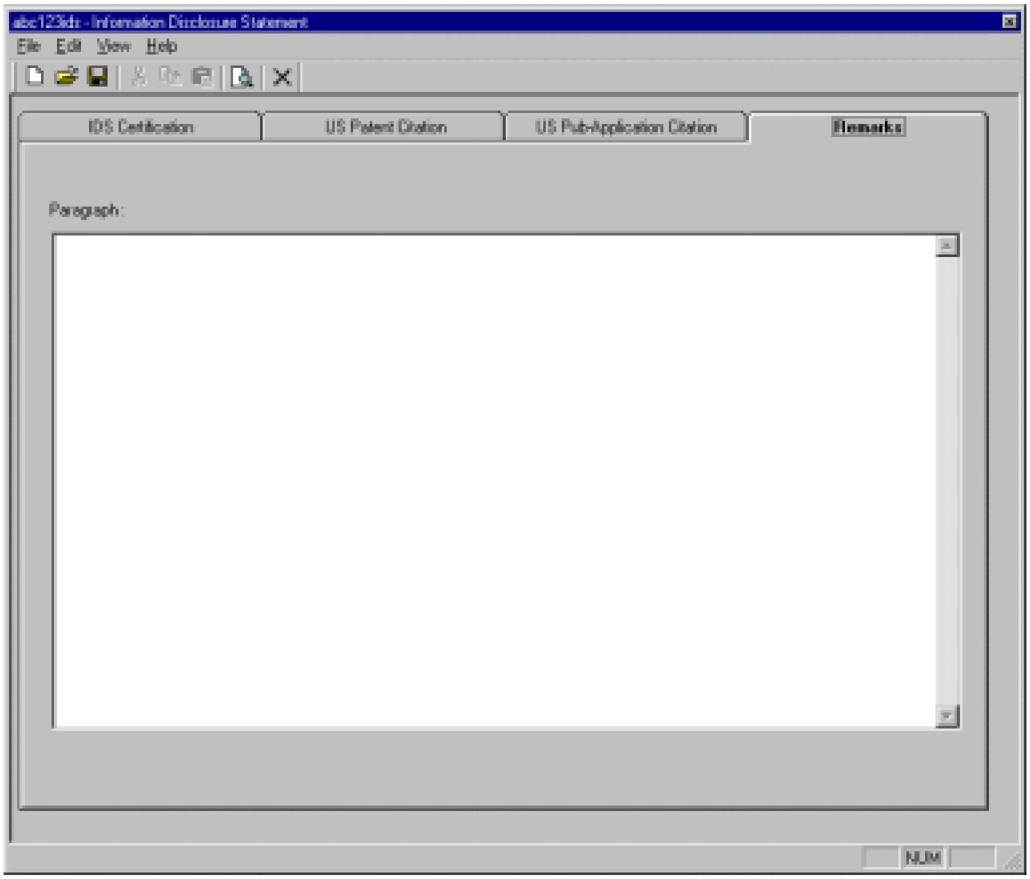


Figure 97: Remarks

Enter any remarks you wish to have considered, such as statements of relevance, in the **Paragraph** field.

This section is NOT intended for entering a response to an Office action.

Removing a Form

Use the following procedure to remove a form from the **Selected Forms** list:

1. Click on the name of the form in the **Selected Forms** list that you want to remove.

2. Click the **Remove** button.
The form is removed from the **Selected Forms** list.

You can remove any form listed in the Selected Forms box from the submission, but if you remove a recommended/required form you may cause validation errors.

If you have already saved the form, which automatically attaches it to the electronic submission package, you must also remove the form from the electronic package after you

remove it from the Selected Forms list. To completely remove the form from the submission, select the Attachments tab, select the form again, and then click the REMOVE button. For more information about this procedure, see ***Removing a File on page 50.***

The forms listed in the Available Forms text box are Application data which will assist you in authoring XML documents such as the application data form as defined in 37 CFR 1.76 (Application Data Sheet); a fee transmittal, a Patent Assignment Recordation document for a patent provisional application and the Biosequence Transmittal for a CRF Biosequence Listing filing.

Note: The Application Data sheet is the equivalent of a provisional application.

When a form is highlighted in the Selected Forms field, you may click the **Open** button. ePAVE will then assist you in preparing an XML form for inclusion in your submission by opening another set of tab screens where you can enter the information appropriate to the submission you are electronically filing.

Assignment Recordation Form

The EFS 4.1 release that includes new ePAVE software allows you to submit single or multiple assignment documents for electronic submission. You can file these assignments along with a new utility patent application, a patent provisional application, or as a subsequent filing. Subsequent assignment filings must identify the patent property(s) being assigned. A property tab has been added to the assignment form for subsequent assignment filings. Subsequent assignment filings provide the capability to submit related or unrelated assignment coversheets. All multiple coversheets will be treated as individual assignment documents after receipt at the Assignment Services Division.

To submit an electronic assignment for recordation, you must complete the Assignment Coversheet Form required for an electronic assignment recordation.

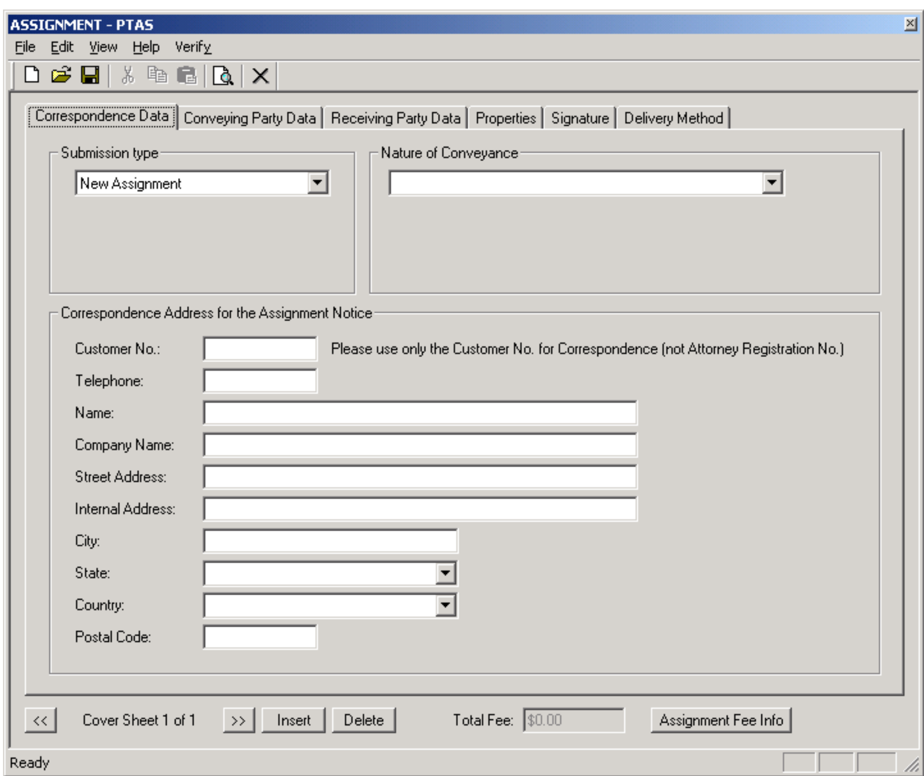


Figure 98: Assignment Coversheet Recordation Form Opening Screen

The Assignment Coversheet form has been divided into 6 main tabs—**Correspondence Data**, **Conveying Party Data**, **Receiving Party Data**, **Properties**, **Signature** and **Delivery Method**.

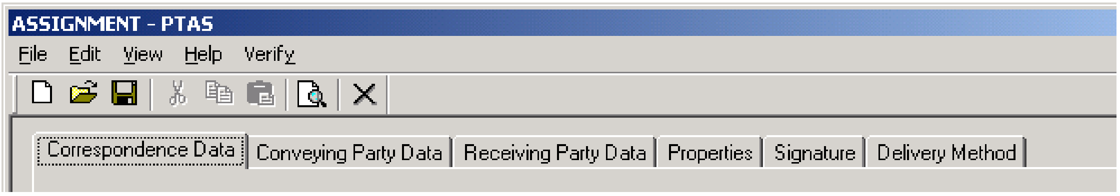


Figure 99: Tabs Available on the Assignment Coversheet Form

Authoring Multiple Coversheets

You may complete up to 15 assignment coversheet forms for recordation and submit them in one submission. Each coversheet will be processed individually after receipt at the Assignment Services Division.

Form Validating Required Data Elements

It is essential for the recordation of your assignment(s) that all required data elements are provided. To ensure the presence of data for the required data elements of each authored assignment coversheet form, form validation routines for the assignment coversheet have been provided. This capability provides the user with form validating routines that will automatically occur when the user navigates between authored coversheets. When exiting the Patent Assignment Recordation module the routines will be applied to all coversheets once the user chooses to save the assignment XML file. A message will only be displayed if a coversheet is lacking any of the required data. Additionally, you may execute the validation routine on demand by selecting or clicking the **Verify** button on the **Delivery Method** tab or by selecting the menu item **Check Current Coversheet** or **Check All Coversheets** from the **Verify** menu on the menu bar. When the Verify button is used or when selecting **Check Current Coversheet** from the **Verify** menu, only the contents of the current coversheet is validated. To validate all authored coversheets select **Check All Coversheets** from the **Verify** menu.

Navigational Controls

The Assignment Recordation form provides the following navigation buttons:

- **Previous** <<
  Move to the previous coversheet.
- **Next** >>
  Move to the next coversheet.
- **Insert**
  Insert additional assignment coversheet forms (there is a limitation of 15 assignment recordation forms per patent assignment electronic filing).
- **Delete**
  Delete any authored assignment coversheet form prior to transmission.

Figure 100: Navigational buttons and controls

The current coversheet is identified between the **Previous** and **Next** buttons.

If required data is missing from the current coversheet, a message is displayed identifying the elements lacking data.

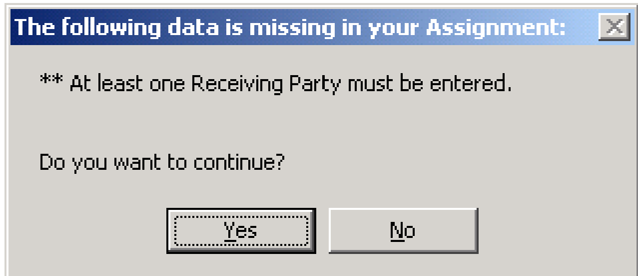


Figure 101: Missing Data

Select **yes** to continue or select **no** to return to the current coversheet.

Insert Button

Click on the **Insert** button to create an additional assignment coversheet or to insert a new form between two already authored forms. A message is displayed requesting that you specify where the insert should occur in relationship to the current form.

Figure 102: Insert Cover

- Select **Yes** to place the new form <u>before</u> the current form.
- Select **No** to place the new form <u>after</u> the current form.
- Select **Cancel** to <u>return</u> to the current form.

Delete Button

Click the Delete button if you want to remove the current coversheet from the batch of coversheets in this filing. When the **Delete** button is selected, a confirmation message is displayed asking you to confirm the delete request.

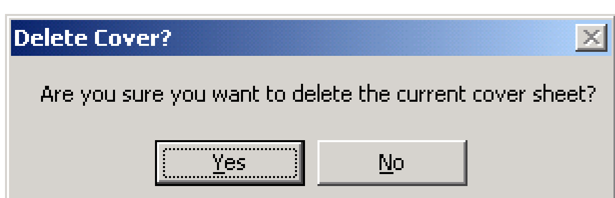


Figure 103: Delete Cover

- Select **Yes** to delete the coversheet and continue.

- Select **No** to cancel the delete and return to the current coversheet.

Previous Button

Click the **Previous** button << to move to the previous assignment recordation form.

Next Button

Click the **Next** button >> to move to the next assignment recordation form. When you click the **Next** button from the last coversheet, a confirmation message is displayed to determine if you are attempting to create an additional assignment coversheet.

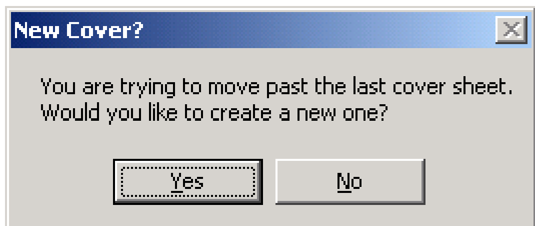


Figure 104: New Cover?

- Click **Yes** to create the next coversheet form.
- Click **No** to return to the current coversheet.

If you select **Yes** to create a new coversheet form and the current coversheet has attachments, the Copy Attachments Dialog Box opens to confirm whether you want to copy the attachments from the current coversheet to the new coversheet.

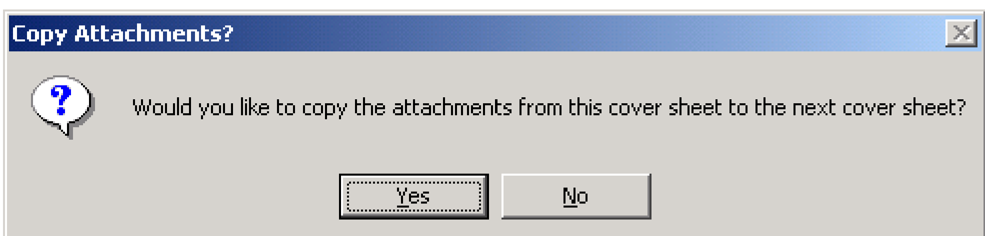


Figure 105: Copy Attachments

- Click **Yes** to copy the attachments from the current coversheet to the new coversheet. The attached tiffs in the current coversheet will automatically be referenced/attached to the new coversheet. If the same filename is attached in multiple coversheets (consecutive or non-consecutive) the file will only be attached to the final package once. The identification of the attachments inside the Assignment coversheet is only a reference; the ePAVE software will not allow duplicate filenames to be attached to the electronic package. When the assignment package is received in the USPTO and the XML file (specifically the attachments data element(s)) contains one or more references to the same filename, Assignment internal processing procedures will generate a copy or copies as needed. The internal procedures will attach the required conveyance document (tiffs) to each coversheet based on the references contained within each coversheet.
- Click **No** to continue without copying the attachments. Select this option if different conveyance documents will be used for the two coversheets.

Assignment Fee Info

The total fee information is shown at the lower right hand corner of each screen.

Figure 106: Fee Information

The **Total Fee** window provides a cumulative summary of the total fee due for this assignment filing. As coversheets are authored and/or properties are added on the properties tab, the **Total Fee** is adjusted.

The **Assignment Fee Info** button provides a detailed listing for all coversheets in this filing. Click on the **Assignment Fee Info** button to display the assignment fee information calculated for the assignment coversheets in this package. Once you have viewed this information, click **OK** to return to the coversheet form. The fee information includes the following items:

- coversheet number
- number of properties per coversheet
- fee amount per assignment coversheet form due for each form.
- first property number entered on each coversheet
- total property numbers for all coversheets
- total fee required for all authored assignment coversheets

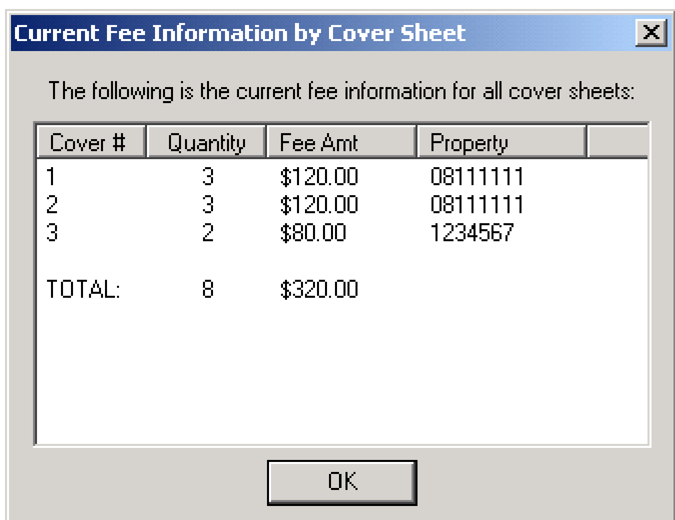


Figure 107: Coversheet Breakdown

If the fee transmittal XML is authored PRIOR to the authoring of the assignment coversheet(s), the Patent Assignment Fee window on the Fee Calculation Screen will NOT reflect any assignment coversheet fee data or assignment fee payment authorization. To have the assignment fee payment and authorization included in the fee transmittal XML you must re-visit the fee form to update. Any Assignment Recordation Coversheet received with NO payment authorization will be non-recorded and returned to the submitter.

Tabs on the Assignment Recordation Form

To record an assignment in the U.S. Patent and Trademark Office, specific information is required. The data elements required on the Assignment Recordation Coversheet Form 1595 used in paper and fax filings are required in electronic filings.

In order to comply with the Government Paper Elimination Act, the Delivery Method tab provides the user with the option of delivery via fax. Delivery via fax is the currently preferred method desired by the Office of Public Records to communicate with the correspondent(s). The default delivery method is fax and requires a fax number to be entered in the appropriate field. This will eliminate possible delays in returning official communications to the correspondent and will provide faster turn-a-round processing.

The Assignment Services Division in the Office of Public Records may not modify your electronic data (with the exception of modifying the customer number for correspondence address).

Each of the tabs, the associated data elements, and the requirement status of each data element are described below.

Correspondence Data Tab

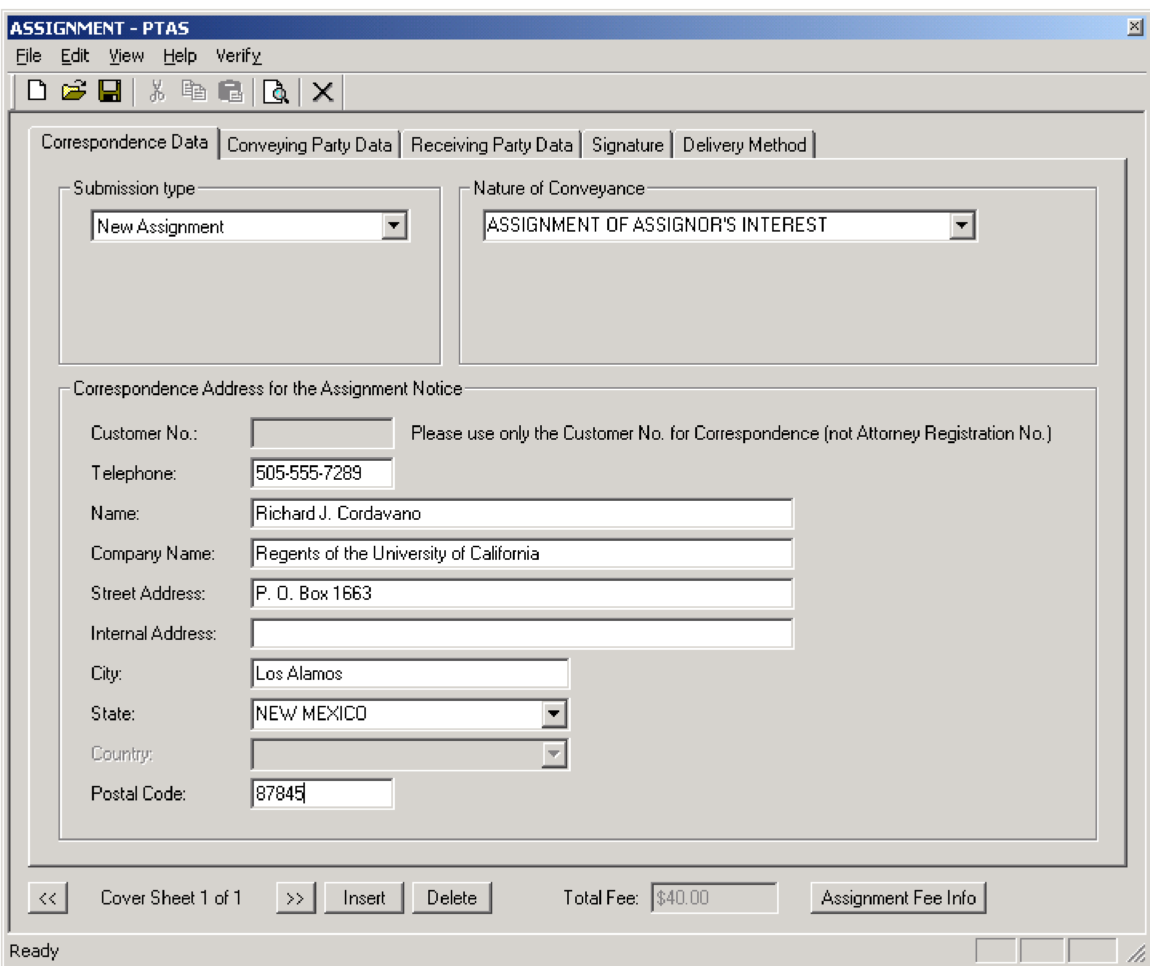


Figure 108: Correspondence Data Tab

The Correspondence Data tab contains three sections—**Submission Type**, **Nature of Conveyance**, and **Correspondence Address Data**. The **Submission Type** defaults to **New Assignment** for all submissions. The **Nature of Conveyance** data contains a drop down list of frequently used types of assignment transactions and a free form type for assignment transactions that don't fall into one of the standard types. When you select the free form option, a field labeled **Conveyance Text** is provided for free form data entry. The **Correspondence Address** section provides the user with the option to enter either a customer number (which will be padded with leading zeroes if the number is less than 6 digits) or the standard name and address fields. There are nine fields in the **Correspondence Address** section of the tab, which allow you to enter either the USPTO provided customer number or the name and address information for person or persons to whom the USPTO should direct official communication. This address will be used in addressing the correspondent(s) with the resulting communication from this assignment filing. You must enter either a customer number for correspondence address or a correspondence name and address.

Table 24: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required or Optional
Submission Type	The default value is **New Assignment**. You can not change this field at this time.	Required
Nature of Conveyance	This field contains a drop-down list of basic conveyance types commonly used in the USPTO. If the list does not contain the appropriate pre-formatted text that describes the interest conveyed or the assignment transaction, select **Free Form Text** at the bottom of the list. Upon selecting **Free Form Text**, a **Conveying Text** window appears.	Required
Conveying Text	Enter text that accurately describes the nature of conveyance. This field is limited to 250 characters.	Required if **Free Form Text** is selected in the **Nature of Conveyance** field.
Customer Number	Enter the customer correspondence address number provided by the USPTO. When you enter data in this field, the remaining Name and Address fields are disabled. During the examination processing of the assignment, the Office of Public Records will electronically retrieve the official address associated with the customer number. Characters are not allowed in this field. This field is limited to 6 digits. If the customer number is less than 6 digits, the number will be padded with leading zeroes. If you want to enter the Name and Address data, simply delete the entry in customer number. **NOTE: Please ensure that the customer number for correspondence address is provided; do not use the customer number for an attorney registration or the attorney registration number.**	Optional You must complete either the Customer Number field or the Name and Address fields.
Telephone Number	Enter the correspondent(s) telephone number; including	Optional

Field or Button	Action or Function	Required or Optional
	international codes and/or area codes. This field is limited to 20 characters.	
Name	Enter the name of the person or persons to whom correspondence should be addressed. Business or company names should be entered in the **Company Name** field. Data entered in this field will disable the **Customer Number** field. When you provide data for this field, the City, State or Country, and Postal Code (required for state names) fields are also required. This field is limited to 40 characters. If you want to enter data in the **Customer Number** field, delete all text entered in the name and address fields.	Optional You must complete either the **Customer Number** field or the **Name** and **Address** fields.
Company Name	Enter the company name where correspondence should be addressed. This field is limited to 40 characters.	Optional
Street Address	Enter the street address for correspondent(s). This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for correspondent(s). This field is limited to 40 characters.	Optional
City	Enter the city name for correspondent(s). This field is limited to 20 characters.	Required if **Name** field completed.
State	If the correspondent/company address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for U.S. addresses if **Name** field completed.
Country	If the correspondent/company address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when	Required for non-U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.

Conveying Party Data Tab

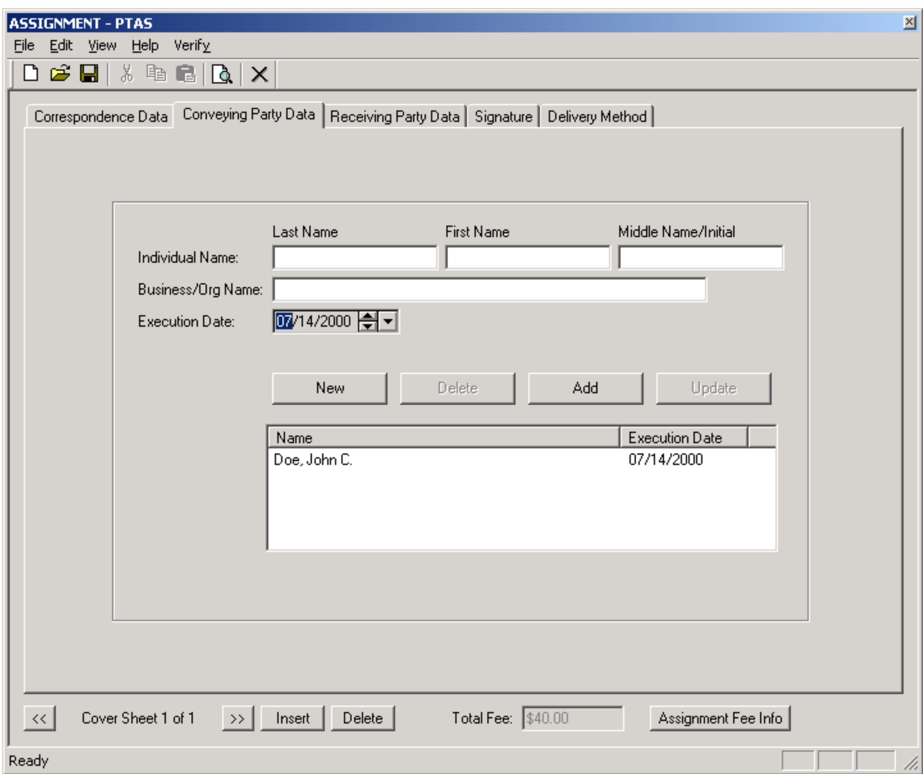


Figure 109: Conveying Party Data Tab

The **Conveying Party** tab consists of two primary sections, the conveying party name fields and the execution date field. The conveying party may be either an individual or a business or organization. You must provide at least one conveying party name and execution date. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

Table 25: Field and Buttons on the Conveying Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the conveying party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters. The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	Required when conveying party is an individual, except for **Middle Name/Initial**.
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word "The", enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army	Required when conveying party is a business or organization.

Field or Button	Action or Function	Required or Optional
	This field is limited to 240 characters per business/organization name.	
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Receiving Party Data Tab

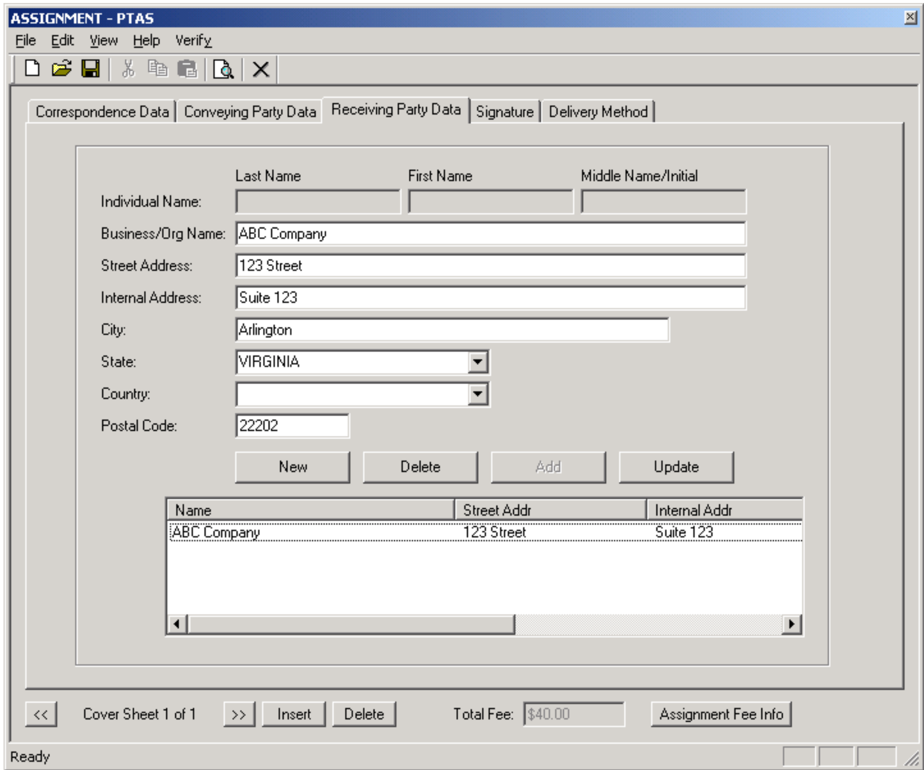


Figure 110: Receiving Party Data Tab

The **Receiving Party** tab consists of the receiving party name and address. You must enter at least one receiving party, and for each receiving party you must complete the name and address fields. The receiving party may be either an individual or a business or organization. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

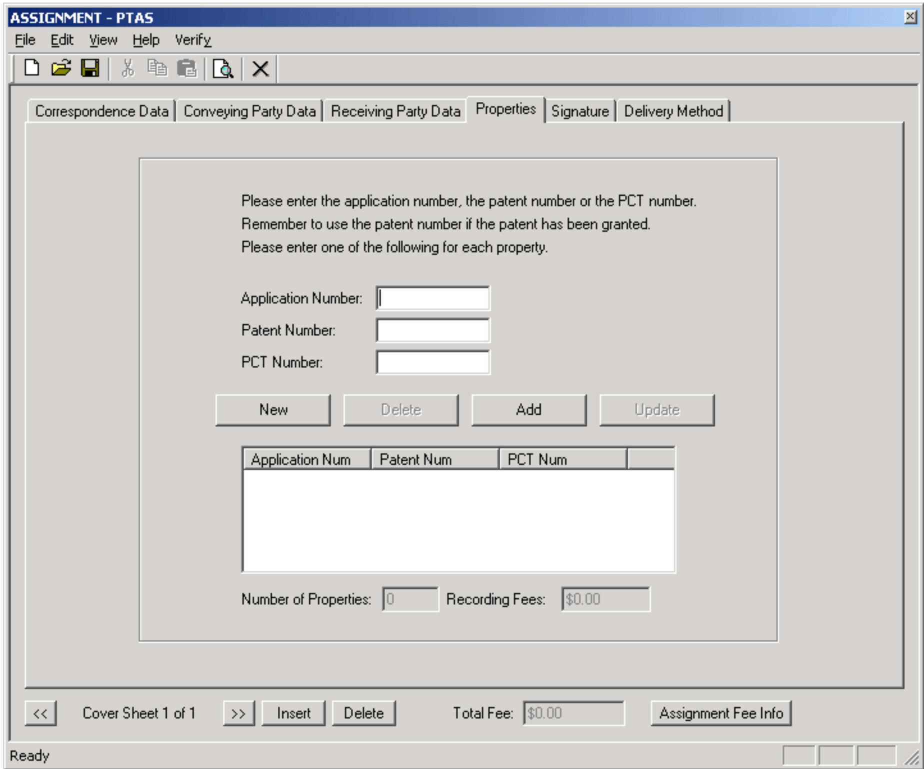
Table 26: Field and Buttons on the Receiving Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the receiving party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters.	Required when receiving party is an individual, except for **Middle Name/Initial**.

Field or Button	Action or Function	Required or Optional
	The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word "The", enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army This field is limited to 240 characters per business/organization name.	Required when receiving party is a business or organization.
Street Address	Enter the street address for the receiving party. This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for the receiving party. This field is limited to 40 characters.	Optional
City	Enter the city name for the receiving party. This field is limited to 20 characters.	Required if **Name** field completed.
State	If the receiving party address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the	Required for U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Country	If the receiving party address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for non-U.S. addresses if **Name** field completed.
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Properties Tab



The **Properties** tab contains three property number fields:

- **Application number**
  An assignment relating to a national patent application must identify the national patent application by the application number (consisting of the series code and the serial number e.g., 07123456. Please **<u>do not</u>** separate the series code and the serial number with a slash (/).
- **Patent number**
  An assignment relating to a patent must identify the patent by the patent number.
- **Patent Cooperation Treaty (PCT) number**
  An assignment relating to an international patent application, which designates the United States of America, must identify the international application by the international application number (e.g., US9001234). Please **<u>do not</u>** separate the country code and the year of filing (US90) with the 5-digit number (01234) with a slash (/).

Do not enter the application number once the patent number has been entered. The user may only enter one of the three property numbers at a time. When an entry is made into one of the fields, the other two fields will be temporarily disabled.

Do not provide an entry for an application number and then enter the associated patent number.
Do not provide an entry for an application number and then enter the associated Patent Cooperation Treaty number.

Do not provide an entry for a Patent Cooperation Treaty number and then enter the associated application number.
Do not provide an entry for a patent number and then enter the associated application number.

Adding a Property

Use the following procedure to add a property:

1. Tab to the desired field, or click the mouse in the field to place the cursor there.
2. Enter the appropriate property number.
3. Click the **Add** button.
   The number is listed in the properties list.

Changing a Property

Use the following procedure to change a property:

1. Select the property from the property list.
2. Click the **Update** button.

Deleting a Property

Use the following procedure to delete a property:

1. Select the property from the property list.
2. Click the **Delete** button.

If a property number is entered and the user attempts to enter the same property number a message will be displayed indicating that duplicate numbers are not permitted.

Table 27: Field and Buttons on the Properties Tab

Field or Button	Action or Function
Application Number	Enter the 2-digit series code followed by a 6-digit serial number. This field requires you to enter 8 digits. You will receive an error message if the number that you enter is not 8 digits.
Patent Number	Enter the 7 alphanumeric or numeric characters that make up the patent number. For design, plant or reissue patent number please use the appropriate alphabetic characters. Please use leading zeros when necessary, for example: 0000001, D000001, PP00001 or RE00001. This field requires you to enter 7 alphanumeric or numeric characters. You will receive an error message if you enter less that 7 characters or enter all alphabetic characters.

Field or Button	Action or Function
PCT Number	Enter the 9 alphanumeric characters that make us the PCT number. Use the following format: 2-character country value 2-digit year 5-digit numeric number (please use leading zeros) This field requires you to enter 9 alphanumeric characters in the specified format. You will receive an error message if you do not enter 9 alphanumeric characters or if you enter an incorrect format.

Currently there is no method to determine if a relationship exists between the entered property numbers. Do not enter the application number and the patent number for the same patent property.

As each property number is added to the property list, the order of entry is maintained. As property numbers are added or removed from the property list, the value in the **Number of Properties** window and the **Recording Fee** window is automatically adjusted to reflect the action performed.

Figure 111:   Property Information for Current Coversheet

Signature Tab

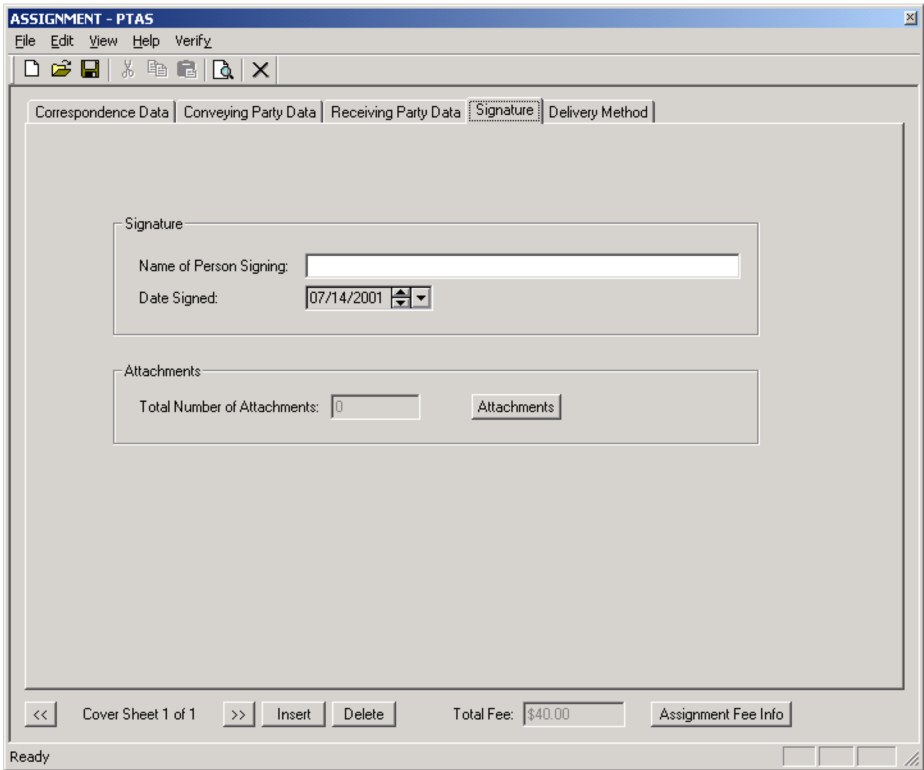


Figure 112: Signature Tab

The signature tab contains three fields—**Name of Person Signing**, **Date Signed**, and **Attachments**.

Table 28: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Name of Person Signing	Enter the name of the person who is electronically signing the submission. This field is limited to 40 characters.	Required
Date Signed	Select the date on which this form is completed or the date the user plans to submit this electronic package to the U.S. Patent and Trademark Office via ePAVE. Dates must use MM/DD/YYYY format. The date must be selected from the calendar resource provided. Each part of the date may be selected and changed as appropriate. The date entered for **Date Signed** may not be greater than the current date.	Required
Attachments	You can not enter any data into this field. Click the **Attachments** button to attach the conveyance document that supports the data entered in the current coversheet form. <u>The tiff files attached must be black and white single-page TIFF images</u>. <u>Image compression format must be 300 dpi Group IV or 300 dpi non-</u>	N/A

Field or Button	Action or Function	Required?
	compressed. For additional TIFF information please consult the *Technical Requirements* section in this user guide.	

Microfilm media is the standard archival method used by the Assignment Services Division. Microfilm format requires single-page black and white TIFF images.

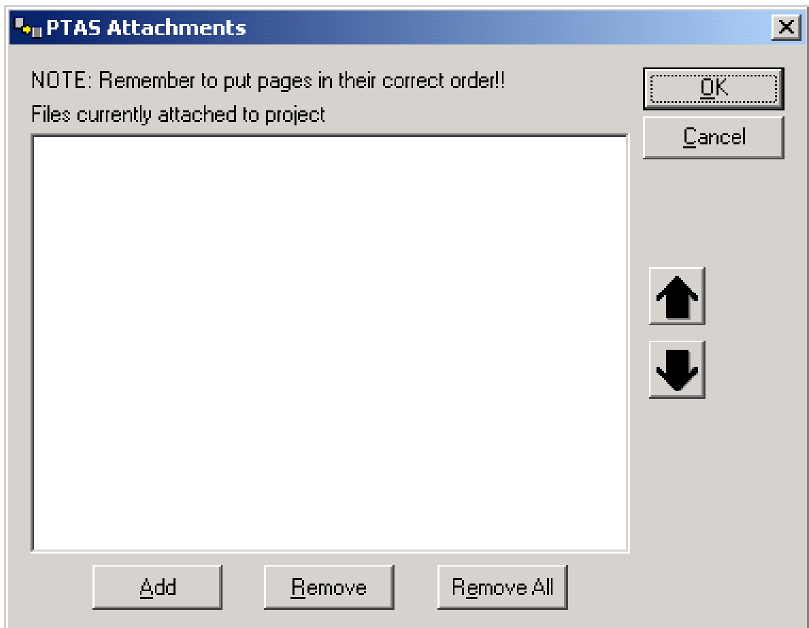


Figure 113: Attachment Dialog Box

Adding an Attachment

Use the following procedure to add an attachment:

3. Click the **Add** button.
The following dialog box opens.

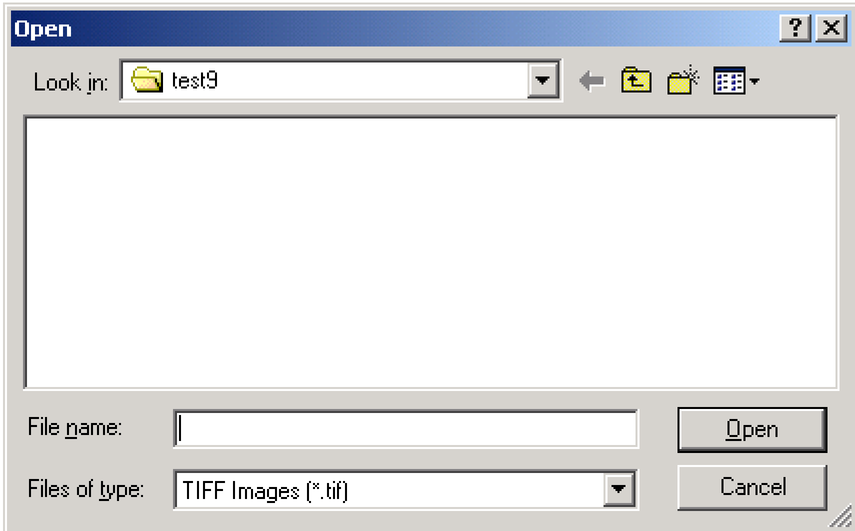


Figure 114: Adding attachment(s) to the current coversheet

4. Navigate the computer's hard drive to locate and select the file(s) that you want to attach as part of this submission.

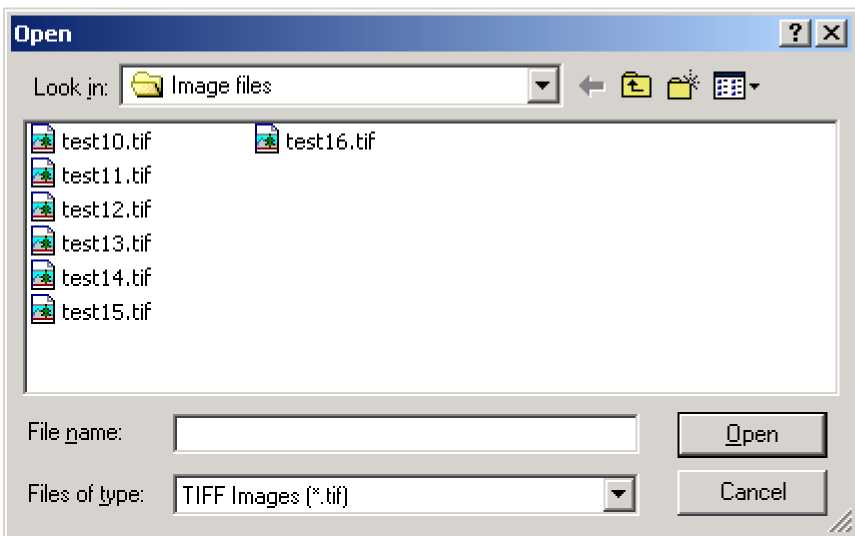


Figure 115: Attaching .tif Files

5. Click the **Open** button.
   The files are attached.

The entry for the total number of attachments is automatically calculated based on your selection of files, and is displayed in the attachment field.

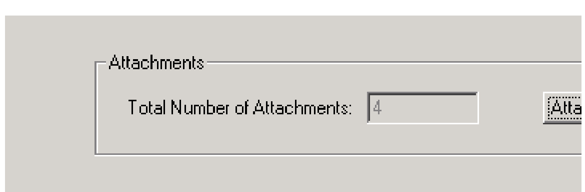


Figure 116: Attachment calculation

Please ensure that the list of attachments is in the proper page order for this electronic submission. This will ensure proper page order within the microfilm media. The recorded document will be placed on microfilm in the order the document is received. For example, based on the listing shown in the **Selection of TIFF Images** figure below, the file **C:\Image files\test11.tif** would become page 1 of the attachment, **C:\Image Files\test12.tif** would become page 2 of the attachment, **C:\Image Files\test14.tif** would become page 3 of the attachment and **C:\Image Files\test13.tif** would become page 4 of the attached assignment document.

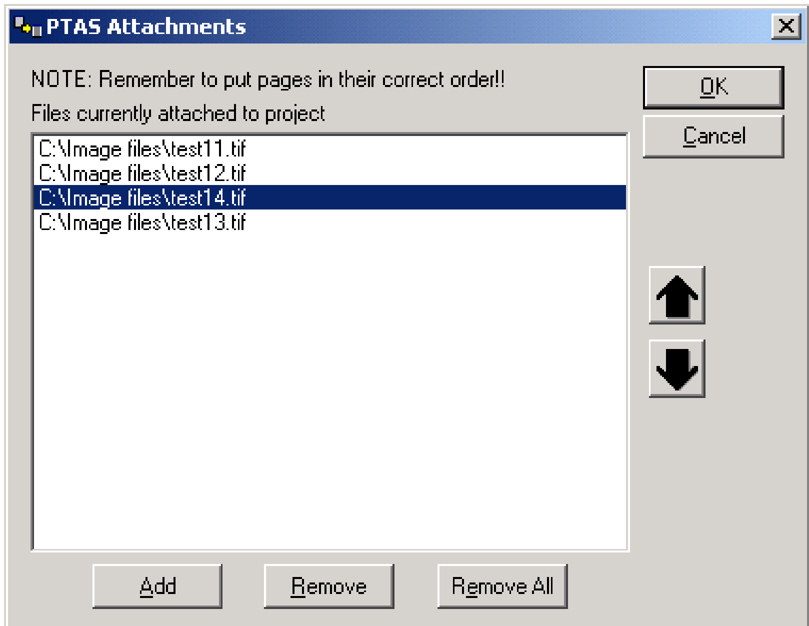


Figure 117: Selection of TIFF Images

Upon receipt in the Patent and Trademark Office, the electronic XML assignment document and assignment attachments will enter the Patent and Trademark (automated) Assignment System. During PTO pre-processing the assignment XML document is rendered using an XSL Stylesheet. This rendered document is then converted into a TIFF image and merged with the assignment attachments into an electronic folder that contains one assignment cover sheet document (may consist of multiple pages) and one assignment document (pages determined based on attachments). This process allows the electronic assignment submission to be entered directly into the automated Patent and Trademark Assignment System.

A legal supporting (conveyance/assignment) document is required to be attached to each authored coversheet.

Removing an Attachment

Use the following procedure to remove an attachment:

6. Select the attachment(s) that you want to remove from the current coversheet.

7. Click the Remove button to remove the TIFF attachment from the current coversheet, or click the Remove All button to remove all TIFF attachments from the current coversheet.

Rearranging the Attachments

Use the up and down arrow buttons on the **Attachments** dialog box to rearrange the order of the TIFF attachments (pages of the conveyance document) that are attached to the current coversheet.

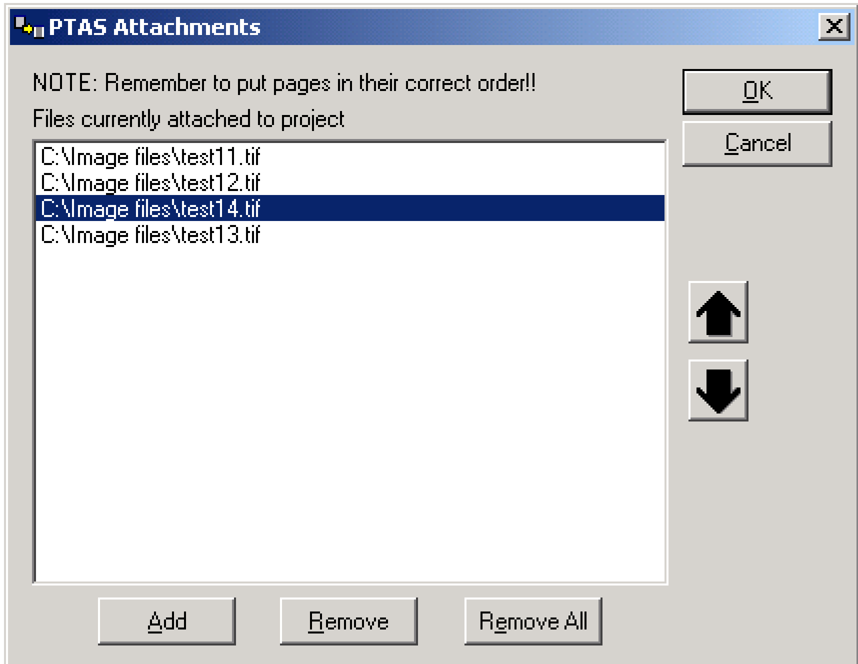


Figure 118: Attachments Box with NOTE to Put Copies in Order

Delivery Method Tab

The **Delivery Method** tab contains the delivery method options and the **Verify** button.

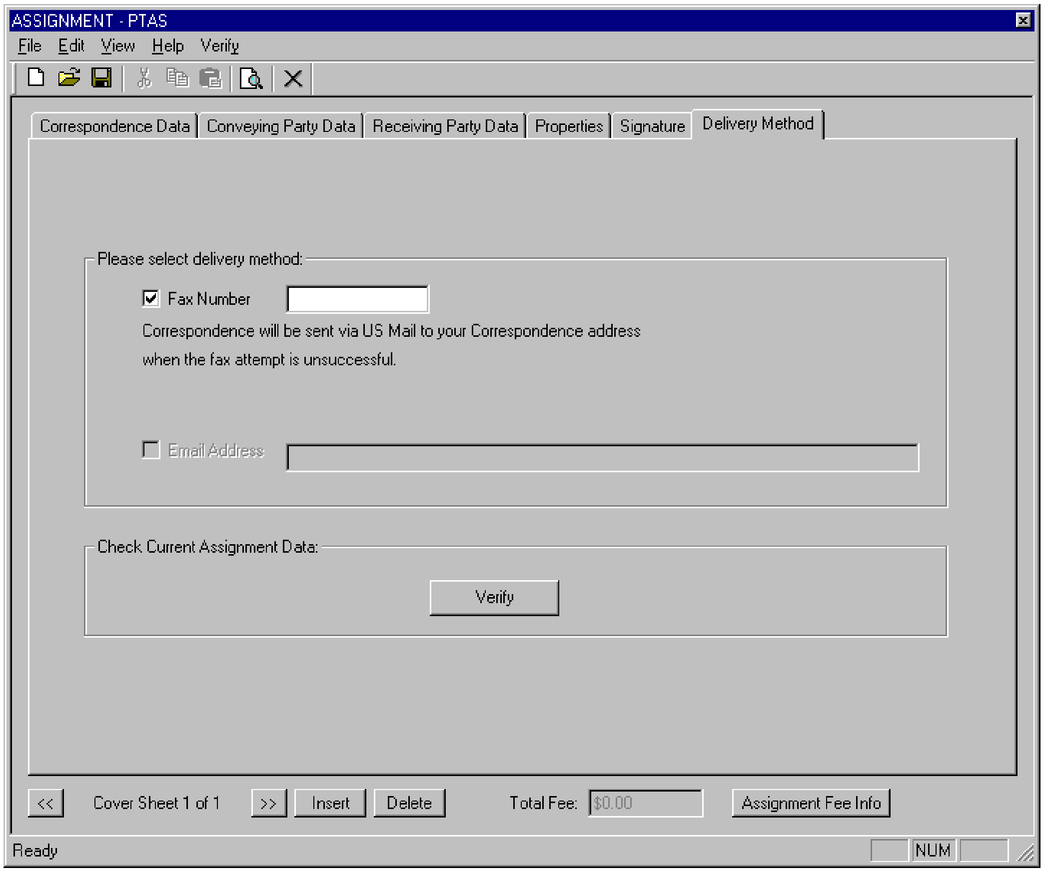


Figure 119: Delivery Method Tab

The default delivery method is **Fax Number**, and is automatically marked when the **Delivery** tab is selected. The **Email Address** option is intended for future use and is not available at this time.

Table 29: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Fax Number	Enter the fax number where correspondence may be transmitted. Please enter a dedicated fax number. Numbers that are associated with PBX equipment, a switchboard or answering machine telephone lines will cause the fax transmission to fail. Faxing to an international telephone number is not permitted at this time. This field is limited to 20 characters.	Required if you want to receive correspondence by Fax.
Verify	Click this button to determine if all required fields have been completed for the **current coversheet**. A display message will indicate the findings based on the review of the entered data during the verification process.	N/A

Verifying Coversheets

Use the following procedure to verify all or one coversheet:

1. Go to the **Verify** menu.

2. Select **Check Current Coversheet** to verify the current coversheet, or select **Check All Coversheets** to verify the contents of all coversheets. You can access either of these menu items at any time during data entry.

Figure 120: Verify Menu List

3. If data is missing from the **Check Current Coversheet** task, a message is displayed indicating the elements lacking data. If data is missing from the **Check All Coversheet** task, a message is displayed indicating the data element and the number of the coversheet that is lacking the element, as shown below. A display message is only shown when data is missing.

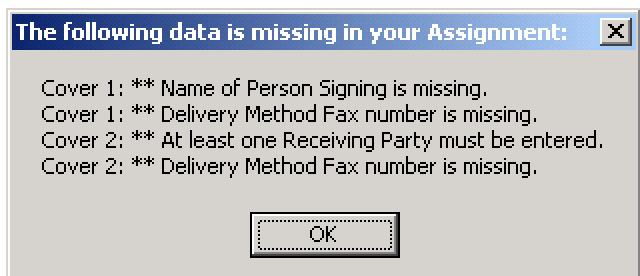


Figure 121: Check All Coversheets – Data missing

Viewing the Assignment Recordation Form

To view the electronic assignment submission XML document, a style sheet document (XSL document) has been provided and will render (in a single page display format) the data that you have entered in the electronic assignment form. When you author multiple coversheets, the display shows the contents of all coversheets on one screen.

To render the assignment XML document (all coversheets), go to the **View** menu and select **Recordation Cover Sheet** or click on the print preview icon located on the toolbar under the menu bar .

If multiple coversheets are authored, the Assignment Services Division automated programs will parse through the XML file and create individual XML files for each coversheet authored, then using XSL render the document and then create a tiff image or images from the rendered document.

Attachments Tab

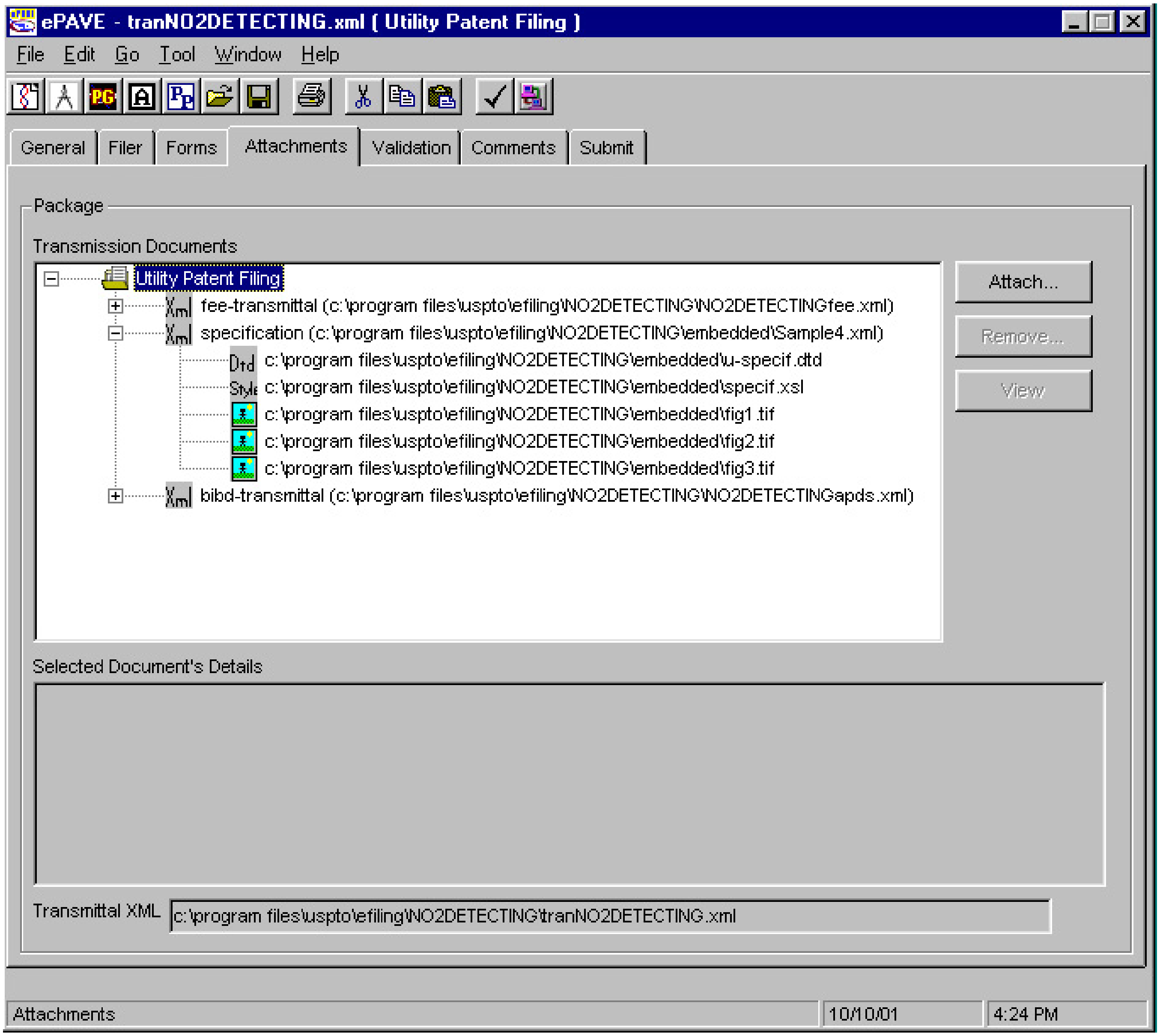


Figure 122: Attachment Tab for New Utility Submission

The Attachments tab allows you to attach your authored XML specification document with or without figures, and your tiff image file(s) containing the declaration for the new utility patent application to your submission.

When you attach the XML specification document a message will display prompting you to attach a declaration tiff image file(s).

After viewing an XML document you may close the viewing screen by clicking “X” in the upper right corner of the displayed screen or click the File on the menu bar and select exit.

To view the Submission Transmittal Form click on **File** from the menu bar and select Print Preview. The Submission Transmittal Form is the cover letter for your electronic submission.

The attached declaration document and small entity statement must be single-page tif images. For example, if the declaration document is comprised of 3 pages, then there would be 3 tiff image files attached to the EFS submission each containing one page of the declaration document.

Figures or graphics associated with the specification XML document also are scanned as single tiff image files. Please refer to EFS Authoring User Manuals for a discussion of figures associated with the specification XML document.

You may also attach a text file produced using a sequence listing editor or you may attach a sequence listing file you authored using USPTO's sequence listing editor PatentIn, if you are submitting a new utility biotechnology Patent application.

NOTE: If you are submitting a text file as part of a New Utility Patent application filing the sequence listing contained in the CRF text file must be referenced in the Patent application specification document to be electronically filed.

The Transmission Documents box on the Attachment tab screen contains information identifying all the documents included in this submission. You will view a list of the electronic files you have attached to the submission "package". At the bottom of the Attachment tab screen there is a box that displays details about the selected attached electronic document.

The Selected Document's Details shows the File Name, file size, File Date/Time and Document Type.

Attaching a File

1. Click one time on the **Attach** button with your computer mouse. A dialogue box will open to allow you to view the computer directories where you have stored the file to be attached.

2. Locate and highlight the drive and folder where you have stored the authored Patent application specification document. Attach the XML file containing the New Utility Patent application specification document and any associated tiff image files containing figures by double clicking on the file name, or by selecting the file and clicking **Open**.

   If you are filing a new utility application a dialogue box will next appear asking for the file name of a scanned image of the declaration statement. (This file is not required for filing, but is recommended.) This image file needs to be in TIFF image format. This box can be closed without selecting an image file.

NOTE: When removing the specification XML file, the declaration statement TIFF file will be automatically removed as well. If the declaration statement TIFF file needs to be updated, the specification XML file must be deleted and reattached.

The Embedded Folder

To facilitate the easy organization and transmission of patent applications, ePAVE now keeps items attached in the Attachments tab in an automatically created folder labeled "embedded" in the specified project folder that is created at the time of the first attachment.

During the creation of a project in ePAVE, the user will need to attach the specification document that was created in the authoring tool and depending on the situation, may need to attach other .tif images (such as a small entity claim).

When any attachment is made in the Attachments tab of ePAVE, a folder labeled "embedded" is created in the open project folder and the attachment is copied into that folder. For a specification this means that any .tif images, the specification's .dtd and .xsl files along with the selected .xml document itself are automatically copied into the embedded folder. For other "stand alone" attachments, such as a small entity claim, only the image itself is copied into the embedded folder.

The embedded folder does not separate the specification files from other attached files (such as a small entity claim).

NOTE: Attachments that are made as part of a form (such as an attachment in the Statement and Signature tab of the Patent Assignment Recordation form) are NOT stored in the embedded folder. ePAVE maintains the link to the attachment and sends it along with the rest of the files at the time of transmission.

The following illustrates what ePAVE does when files are attached in the Attachments tab.

- The image below is what the project folder looks like when it is initially created:

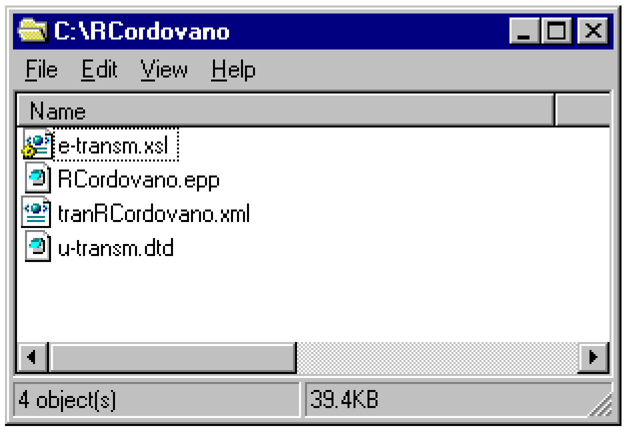


Figure 123: Project folder when first created

- Then a specification is added in the Attachments tab:

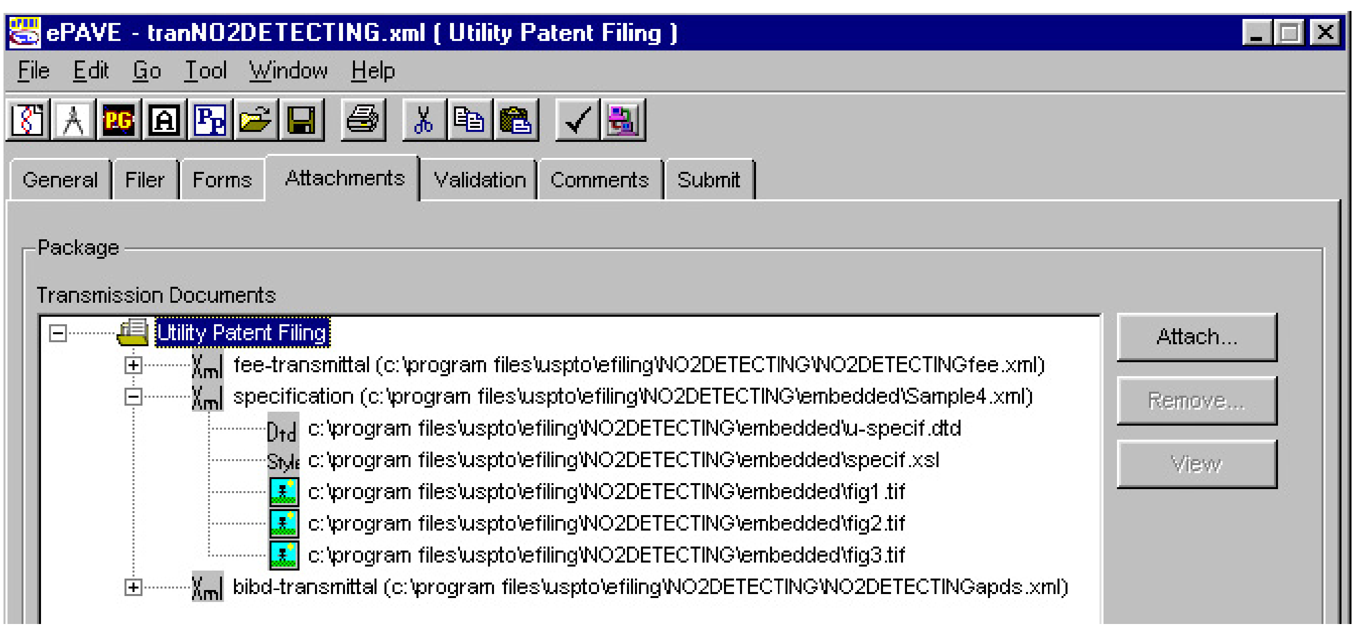


Figure 124: Attachments tab with specification and linked figure images

- After the specification is added, a folder labeled "embedded" is created in the project folder:

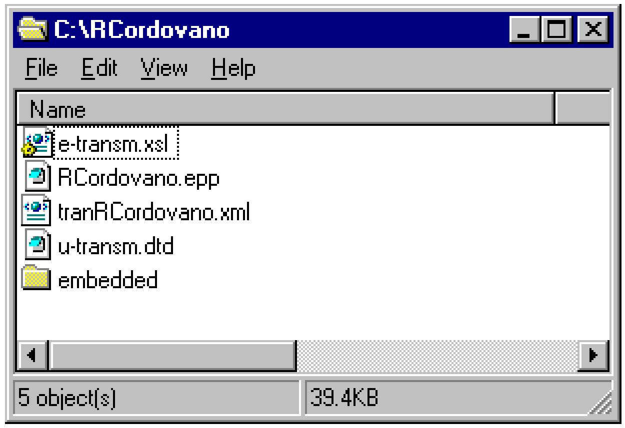


Figure 125: Project folder with embedded folder

- Within the embedded folder, the necessary files of the specification, including linked images are copied:

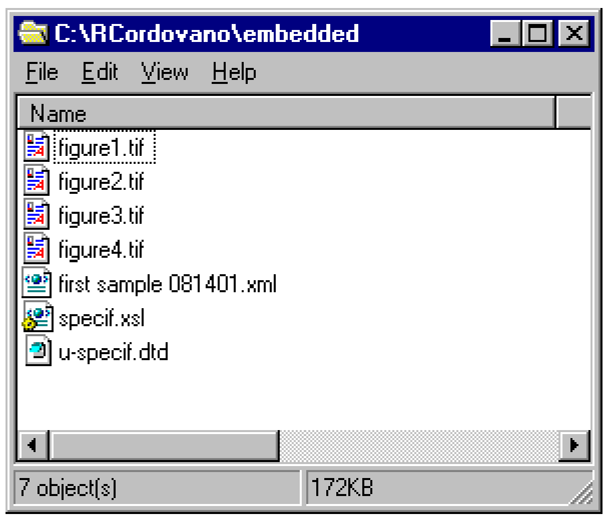


Figure 126: Specification and linked images in the embedded folder

- Then a declaration is added in the Attachments tab:

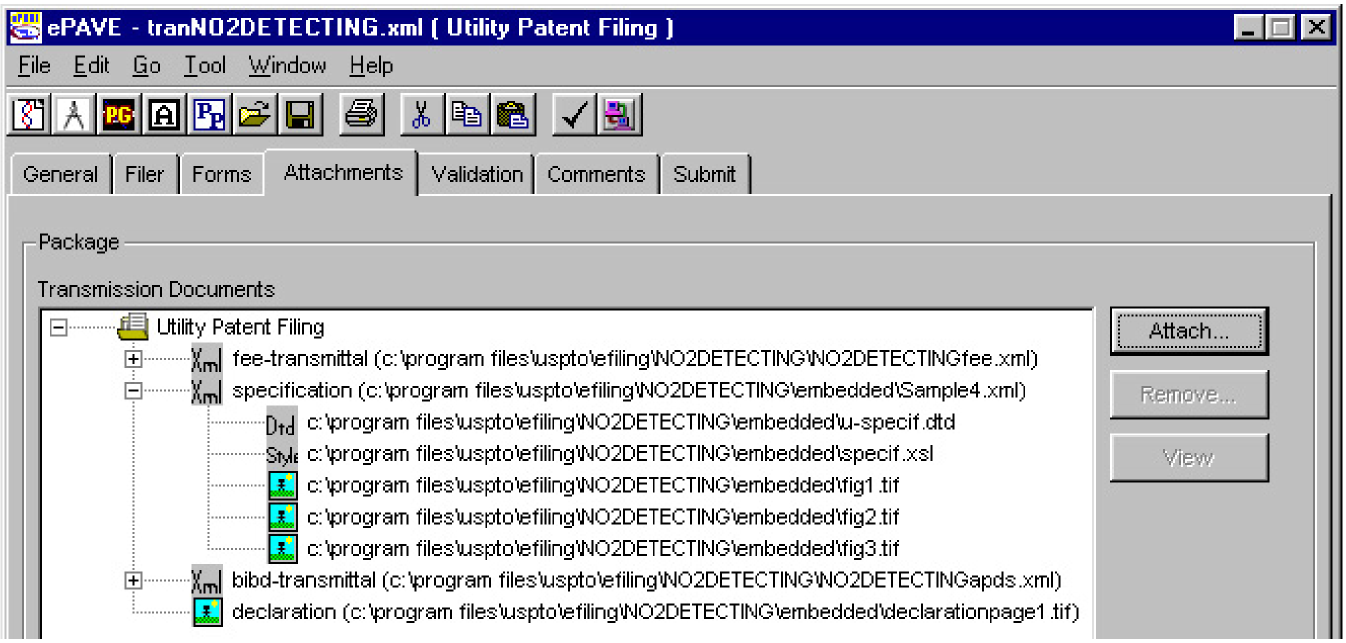


Figure 127: Attachments tab with attached specification and declaration

- The attached declaration is added to the embedded folder:

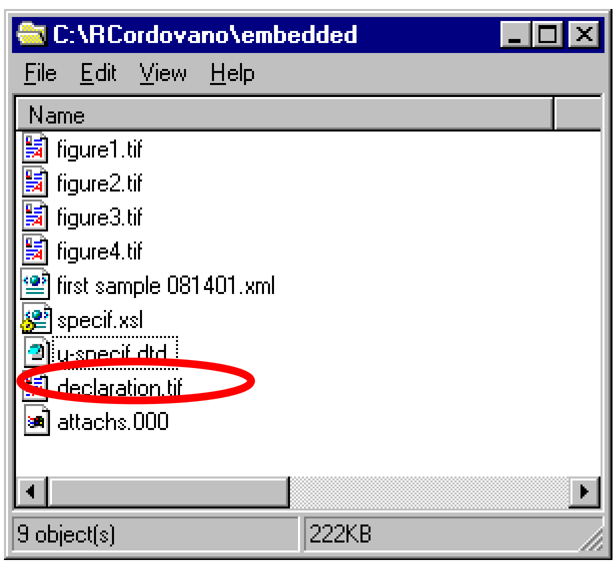


Figure 128: Embedded folder with specification and declaration

Removing a File

In addition to allowing you to attach files for bundling into the submission package, ePAVE also will allow you to remove files prior to submission.

1. Highlight the file you wish to remove. The entire file should appear in highlighted blue text box.

2. Click the **Remove** button to remove the attachment.

3. To re-attach a removed document you must either go back to the Forms tab and re-select the form you removed or click on the **Attach** button to locate the file you wish to re-attach.

Viewing and Printing Your Submission

The **View** button located under the **Remove** button on the Attachments Tab is used to view the Patent application XML documents using EFS USPTO standard style sheets and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.

Validation Tab

The **Validation** tab provides an automatic validation of your submission to identify any errors before you send your submission to the USPTO. You can manually validate the submission at any time by clicking on the **Validate** button or by clicking the check mark icon on the ePAVE tool bar.

You can print a list of current errors at any time during the authoring stage of the submission process.

ePAVE's validation messages are produced by a computer validation program that reads the XML-tagged data that you are submitting. The error messages that ePAVE provides identify specific errors in your submission.

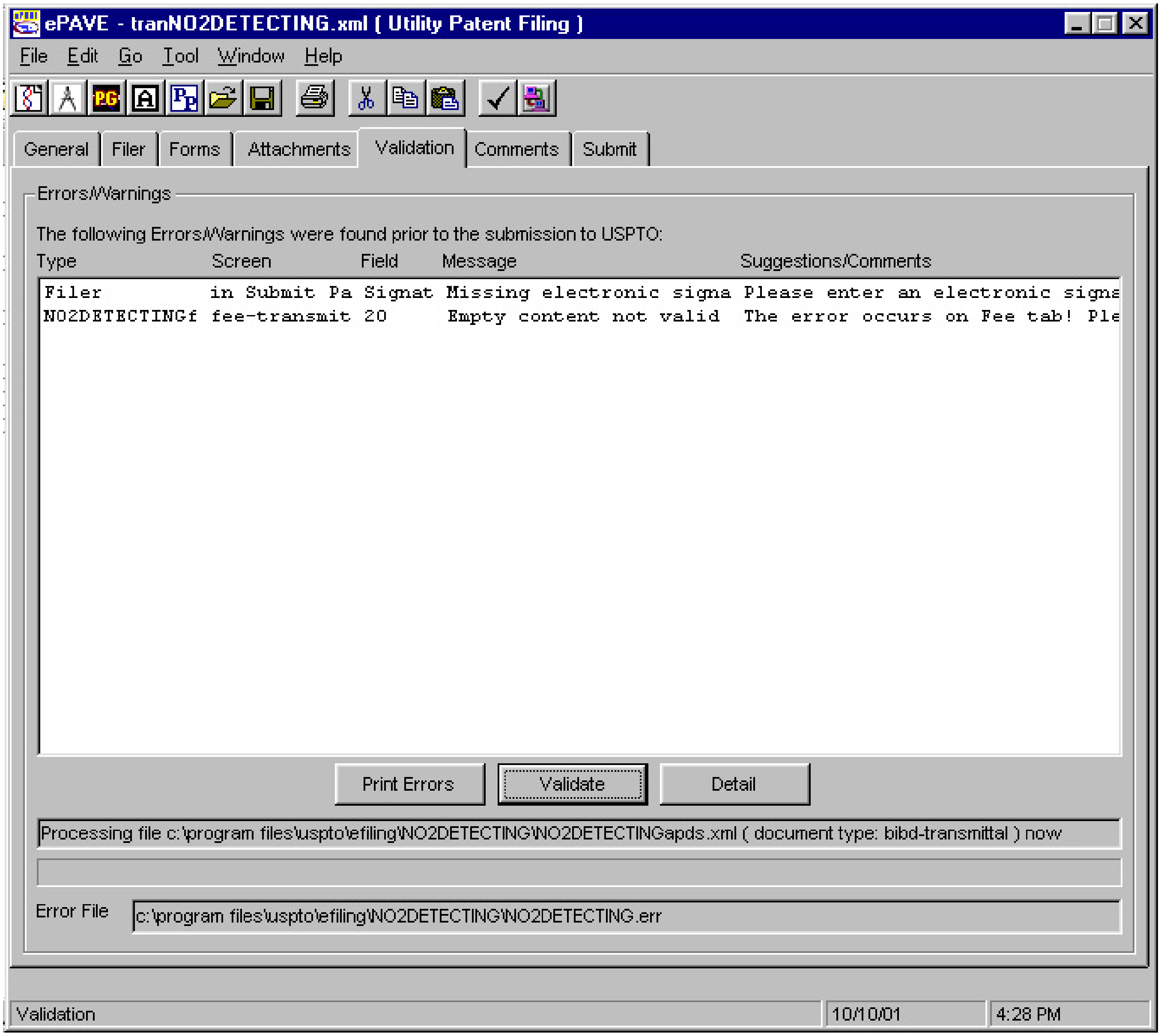


Figure 129: Validation Tab

Fields and Buttons on the Validation Tab

The following table explains the fields and buttons on the **Validation** tab:

Field or Button	Action or Function	Required or Optional
Type	This column shows the type of error.	
Screen	This column shows the screen where there error occurs.	
Field	This column identifies the specific field where the error occurs.	
Message	This column shows the error message related to this error.	

Field or Button	Action or Function	Required or Optional
Suggestions/Comments	This column provides instructions for correcting the error.	
Print Errors	Click this button to print the list of errors to your default printer.	
Validate	Click this button to validate your submission. EPAVE returns a list of errors in the field above.	
Detail	Click this button to view the details of the selected error. You can also double-click the error to view its details. The Error Message Detail window provides additional instructions on how to correct the error..	
Errors File	This field shows the location where the errors file is stored.	

Validating your Submission

Use the following procedure to validate your submission:

1. Verify that your computer is connected to the Internet. You must be connected to the Internet before you can validate your submission.
2. Click the **Validate** button.
   ePAVE validates your submission and lists any errors that it identifies during this process in the **Errors/Warnings** field.
3. Double-click on an error that is listed in the field, or select an error and click the **Detail** button.
   The **Error Message Detail** window appears, providing additional information about the error and instructions for correcting the error.
4. Correct the error as suggested in the **Error Message Detail** window.
5. Repeat **Step 3** for each error.
6. Click the **Close** button or the **X** at the top of the page when you are finished.
   The **Error Message Detail** window closes, and you return to the **Validate** tab.
7. Click the **Validate** button to revalidate your corrected submission.

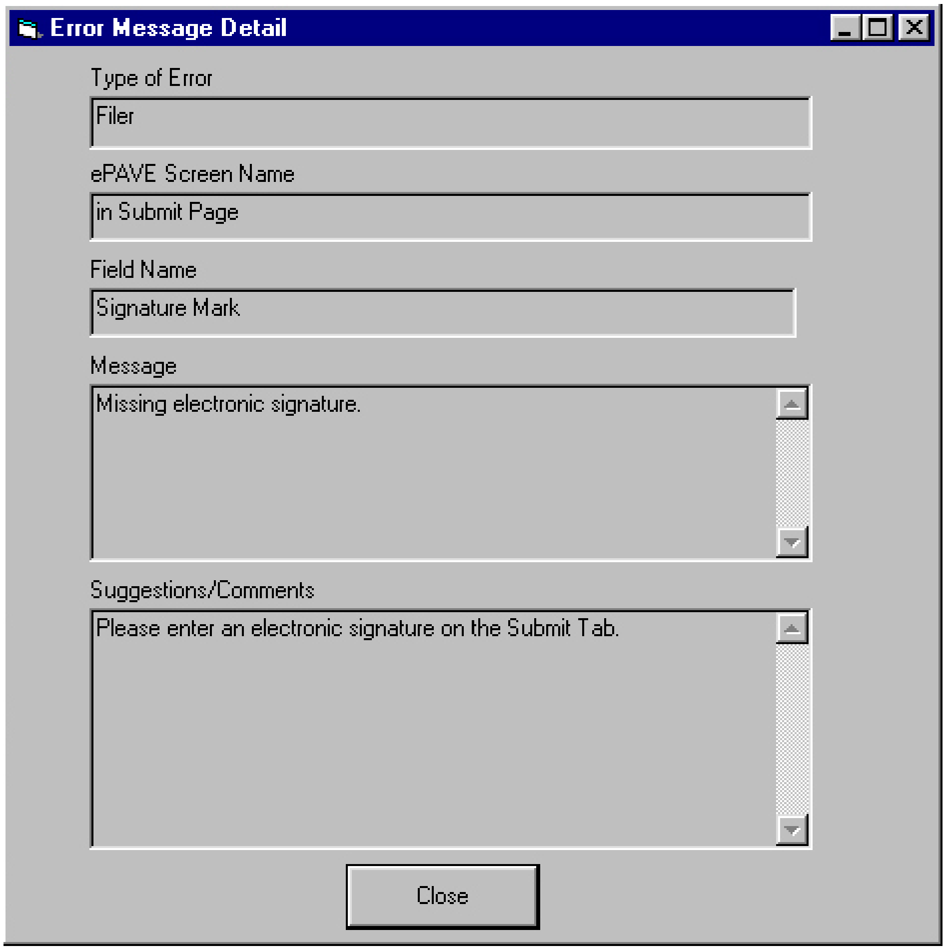
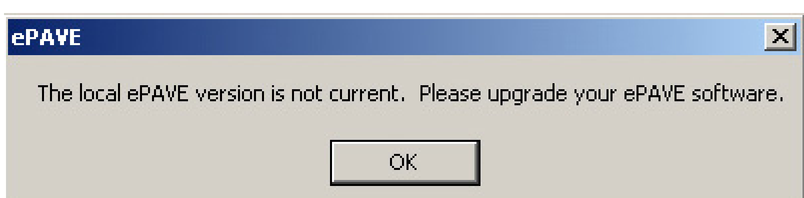


Figure 130: Error Message Detail

Common Validation Errors

If you attempt to use a version of ePAVE that is not the most current version available, you will receive an error message during validation that is similar to the following messages:



Or

This XML files DTD does not match any server's.
Please check if you need to update your DTD

If you receive one of these error messages during validation, go to the EFS website that is accessible from www.uspto.gov and download the latest ePAVE software. You can check your version by going to the **Help** menu in the ePAVE interface and selecting **About ePAVE**.

Printing Identified Errors

Use the following procedure to print a list of the errors that ePAVE identified during validation:

1. Click the **Print Errors** button.
   The list of errors that ePAVE identified during validation are printed on your default printer.

Comments Tab

The **Comments** tab contains a text box where you can author any additional comments that you want to include on your XML transmittal. For example, if you are filing a pre-grant publication to correct errors in a previous publication, you should indicate what changes you are submitting for republication. For a subsequent filing, such as the CRF biotechnology sequence listing submission or the new utility patent application submission, you should include any detailed information about the Patent application that you are filing that is not already contained in the documents and forms attached to your submission.

The following examples show are notations for citing corrections made to a publication submission. You must identify the INID code, drawing page, paragraph number, or claim number. You can also include the title of the application, although it is also captured on the transmittal form.

Example 1: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example 2: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Another instance where you would use the **Comments** tab is when you are filing a pre-grant publication redacted application via EFS to indicate that you have met the concurrent paper requirements of the new rule 1.217(c).

The following figure shows the **Comments** tab:

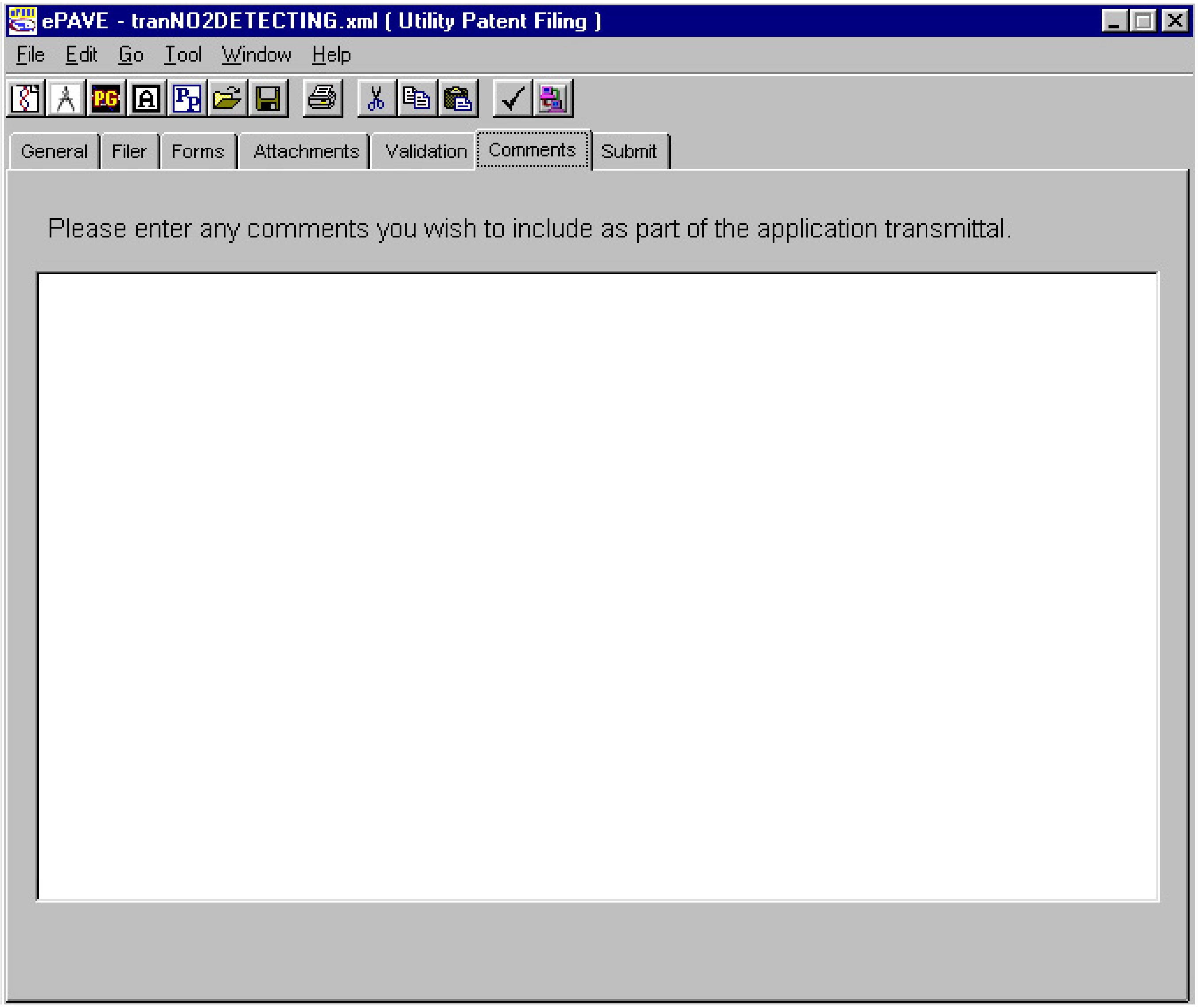


Figure 131: Comments Tab

Fields and Buttons on the Comments Tab

The following table explains the fields and buttons on the **Comments** tab:

Table 30: Fields and Buttons on the Comments Tab

Field or Button	Action or Function	Required or Optional
Comments	Enter any additional comments or information about your submission. For a provisional application, indicate any U.S. government agency that has a property interest in the application.	Optional

Submit Tab

The **Submit** tab is where you will sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

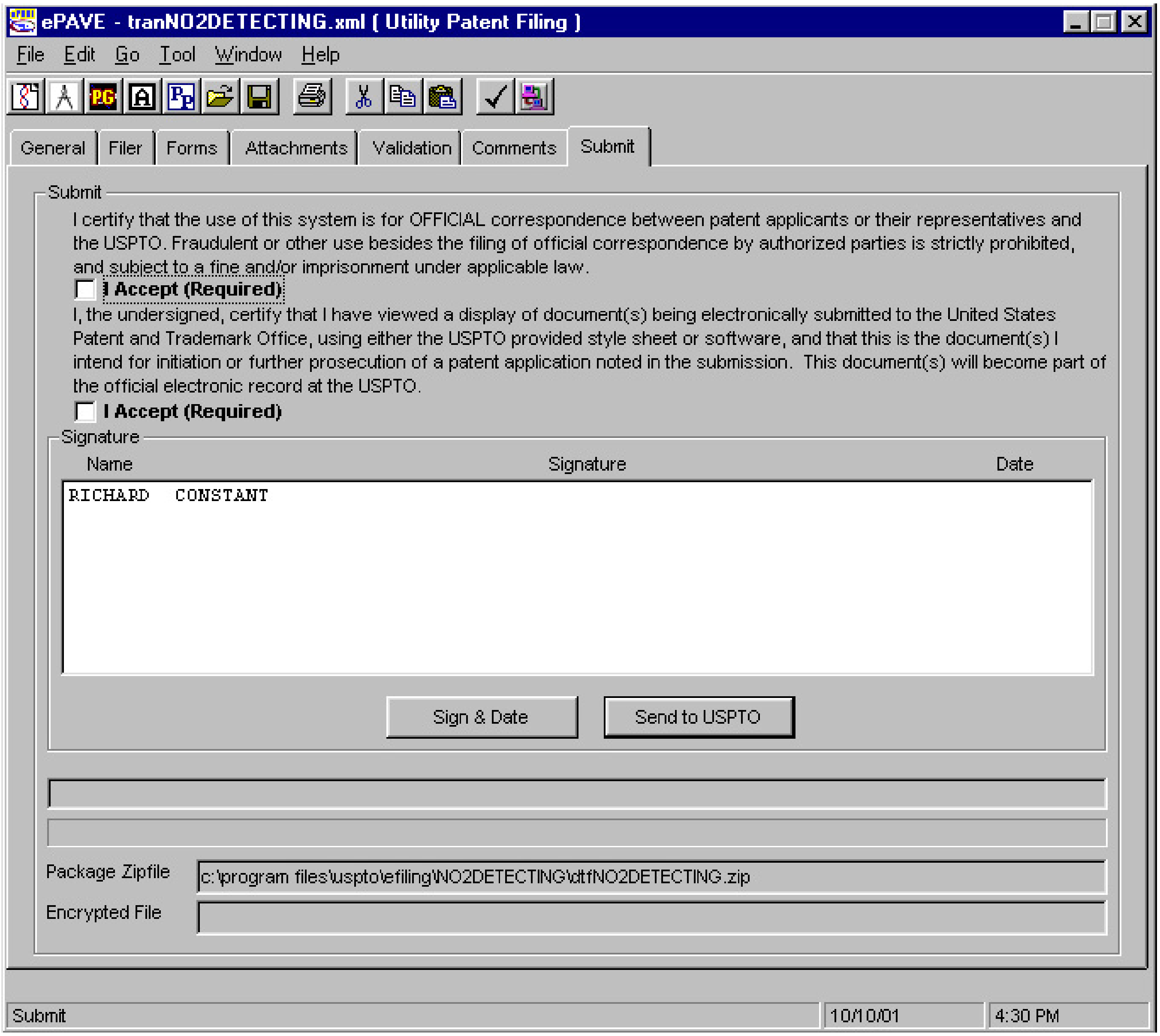


Figure 132: Submit Tab

Fields and Buttons on the Submit Tab

The following table explains the fields and buttons on the **Submit** tab:

Field or Button	Action or Function	Required or Optional
I Accept	You must read each of these two statements and click each of	Required

Field or Button	Action or Function	Required or Optional
	the two corresponding boxes to indicate your acceptance, placing a check mark in each box. To remove a check mark from a box, click the box again.	
Name	This column lists the filers associated with the submission.	
Signature	This column shows the electronic signature of each filer once the filer has signed the submission.	
Date	This column lists the date that each filer signed the submission.	
Sign and Date	Click this button after you select your name from the filers list to sign and date the submission.	
Send to USPTO	Click this button to submit your filing to the USPTO.	
Package Zipfile	This field shows the location of your zipped submission package.	
Encrypted File	This field shows the location of the encrypted submission package.	

Signing Your Submission

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

Use the following procedure to sign the document:

1. Click the **Submit** tab to go to the **Submit** page.
2. Read the first legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.
3. Read the second legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.
4. Select your filer name in the **Signature** field.
5. Click the **Sign & Date** button.
   The **Signature** dialog box for the filer that you selected opens.

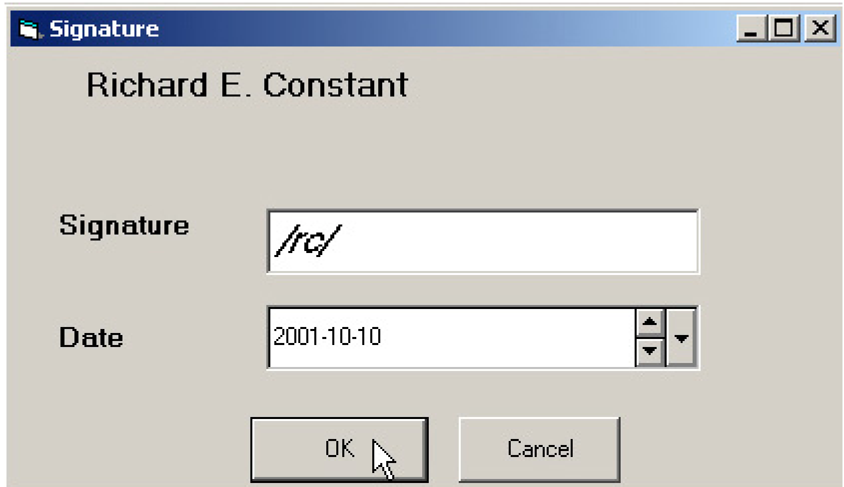


Figure 133: Signature Box with Electronic Signature

6. Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the **Signature** field.

7. Enter the signing date in the **Date** field. You can change the date using the up and down arrows.

8. Click **OK** to accept this signature or click **Cancel** to return to the previous screen.

9. Repeat **Step 4** through **Step 8** for each filer

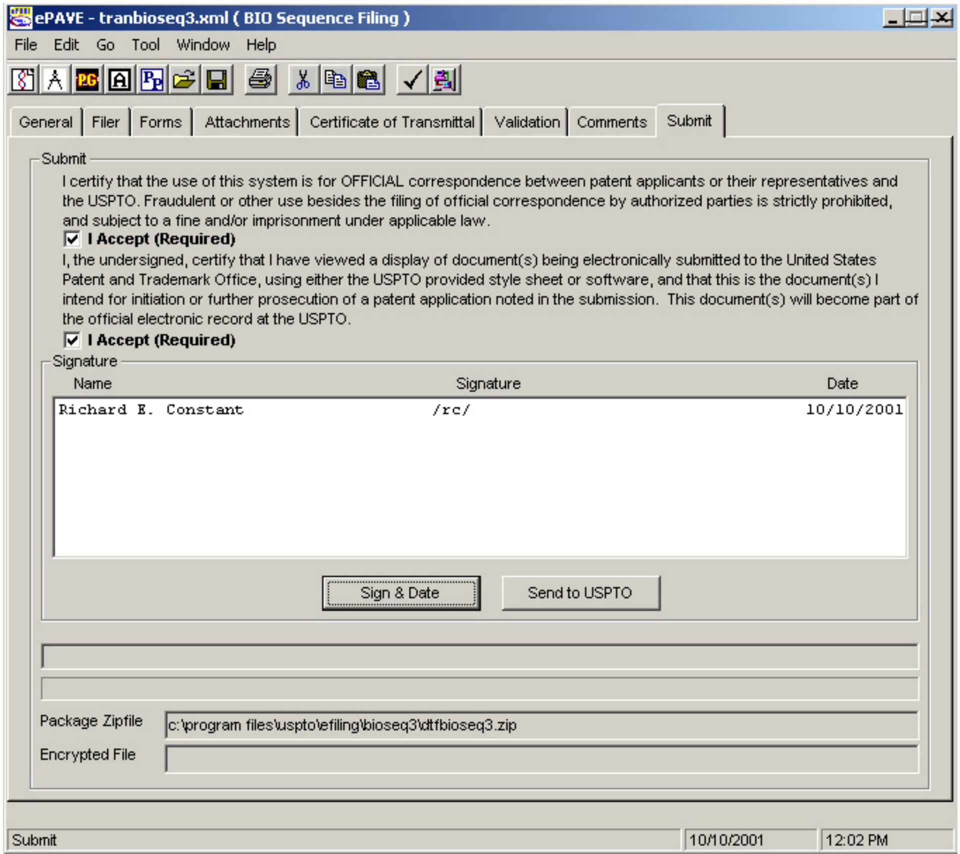


Figure 134: Submit Tab Reflecting an E-signature

Sending Your Filing to the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet.

Use the following procedure to start the submission process:

1. If you are using a dial-up modem, make sure that your Internet connection is still active.

2. Click on the **Send to USPTO** button on the **Submit** tab.

3. If you do not receive any error messages, go to *Digital Certificate Login on page 123*.
   If you receive an **Invalid Submission Warning** message, go to *Validation Override on page 122*.
   If you receive an error message stating that the submission exceeds 10MB, go to *Filing Large Submissions on CD on page 32*.

Validation Override

The ePAVE software will allow you to override certain validation errors. USPTO strongly discourages overriding validation errors, since this may affect the completeness of your submission and may affect the USPTO's ability to properly match the submission with the appropriate application or Patent.

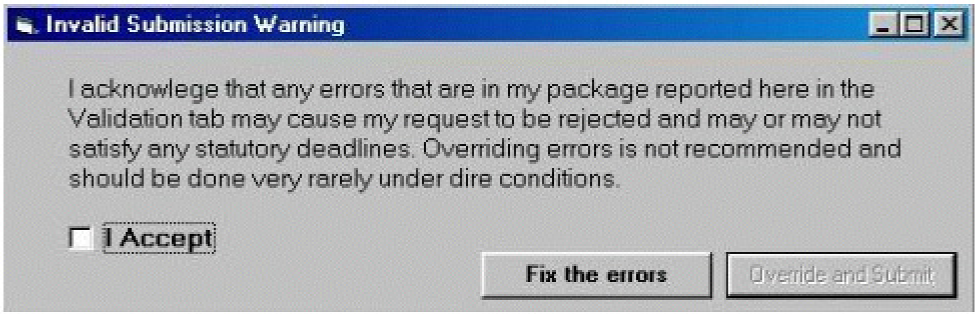


Figure 135: Invalid Submission Warning Override

You can only override certain types of errors. Errors such as a missing serial number, a missing signature, or inappropriate file type extension on an attachment must be corrected prior to uploading.

NOTE: The validation override is not applicable to pre-grant publication submissions.

To return to the ePAVE data entry screens and correct the outstanding errors, use the mouse to click on the **Fix the Errors** button.

Use the following procedure to override the ePAVE validation errors and submit the package to the USPTO:

1. Use the mouse to check the **I Accept** box after reading the warning message text to acknowledge that the warning message has been read. Checking this box will enable the **Override and Submit** button. If you have erroneously checked this box, you can deselect it by clicking on the box again with the mouse.

2. Click on the **Override and Submit** button to continue the submission despite the errors.

3. ePAVE bundles your submission. If successful, you will receive a confirmation message.

Figure 136: Confirmation Message

4. Click **OK**.

NOTE: If you receive an error message stating that your submission exceeds 10MB, see ***Filing Large Submissions Using Compact Discs on page 32*****.**

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the Entrust profile and password that you designated when you created your digital certificate using the USPTO Direct security software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

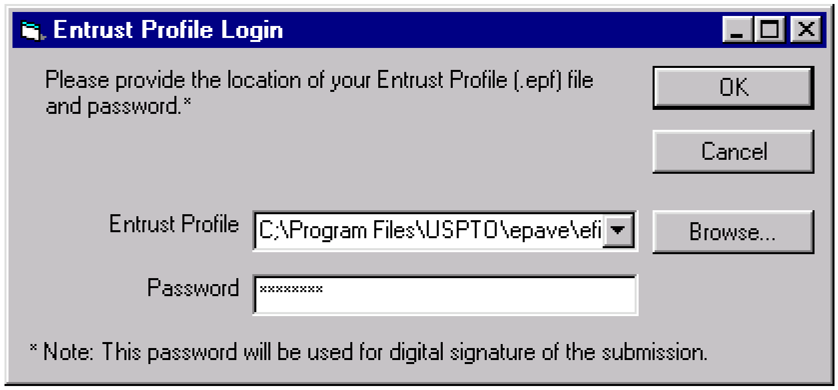


Figure 137: Entrust Profile Login

Use the following procedure to authenticate the digital certificate and send your package:

1. Click the **Browse** button to locate your profile in your directories.
2. Select the profile.
   You return to the Entrust Profile Login dialog box.
3. Enter the password for that profile in the **Password** field.
4. Click **OK**.

Acknowledgement Receipt

After the package has been transmitted to the USPTO, the USPTO server dates and timestamps the package, and uses digital signature technology to verify that the contents of the package have not been altered in transit. The USPTO server also returns information to ePAVE that ePAVE then uses to create your Acknowledgement Receipt—including a unique EFS Transaction ID and the date and time received at USPTO.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site, www.USPTO.gov/ebc, for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for new utility patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility patent application.

If a biosequence listing filed using EFS is unusable, the applicant will be promptly notified by phone, fax, or e-mail depending on the correspondence and application information provided by the applicant to USPTO. If

subsequent filings are unreadable or unusable, the applicant or practitioner is sent a notification as is current practice.

NOTE: For subsequent filings, the application serial number that appears on the receipt is the same application number that you entered on the General tab.

The following figure shows an example of an **Acknowledgement Receipt**:

```
                    Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:
  transmittal                     tranNO2DETECTING.xml 5280 Bytes
  declaration                     declarationpage1.tif 52308 Bytes
  fee-transmittal                 NO2DETECTINGfee.xml 1676 Bytes
  fee-transmittal                 u-feetra.dtd 37433 Bytes
  fee-transmittal                 e-feetra.xsl 14863 Bytes
  specification                   Sample4.xml 23427 Bytes
  specification                   u-specif.dtd 106427 Bytes
  specification                   specif.xsl 33130 Bytes
  specification                   fig1.tif 26680 Bytes
  specification                   fig2.tif 17744 Bytes
  specification                   fig3.tif 13792 Bytes
  bibd-transmittal                NO2DETECTINGapds.xml 2777 Bytes
  bibd-transmittal                u-bibdat.dtd 35690 Bytes
  bibd-transmittal                e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKKk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO
```

Figure 138: Acknowledgement Filing Receipt

Fields on the Acknowledgement Filing Receipt Tab

The following table explains the fields on the **Acknowledgement Filing Receipt** tab:

Table 31: Fields on the Acknowledgement Filing Receipt Tab

Field	Action or Function
Serial Number:	This field shows the application (serial) number that you either entered on the **General** tab for biotechnology sequence listings and pre-grant publication submissions, or that was returned to ePAVE from the EFS server after successful submission of a new utility Patent application filing.
First Named Inventor:	This field shows the name of the first named inventor that you entered on the **General** tab.
Title of Invention:	This field shows the title of the invention that you entered on the **General** tab. You cannot enter a mathematical formula or chemical formula as part of the title of invention.
File Listing:	This field shows an itemized listing of all files that were included in the submission package sent to the USPTO, including the file size.

Field	Action or Function
EFS ID:	This field shows the unique ID number that the USPTO server assigned to your submission.
File Size:	This field shows the size of the encrypted and zipped submission package file that the USPTO received.
Timestamp:	This field shows the date and time the USPTO officially received the package, as indicated on the EFS server timestamp.
Upload Status:	This field shows the status of your upload. A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity is not verified as intact, an error message is shown in this field.
Response File (.rsp)	This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

CASE STUDY FOR A NEW UTILITY APPLICATION

Overview

The following is an in depth look at the process behind filing a New Utility Application. It *is not* intended as a how-to for the authoring (PASAT or TSA) or transmitting (ePAVE) tools. For additional information on PASAT, TSA, or ePAVE, see their respective manuals. It *is* intended to detail the steps prior to and during authoring the Patent Application Specification document, creating the necessary transmittal forms and coversheet, and transmitting electronically all developed documents.

Background

A group of workers at the University of California at Los Alamos National Laboratory developed a device for detecting nitrogen dioxide. The group consists of Dipen N. Sinha, Stephen F. Agnew, and William H. Christensen. They seek to patent their device.

Richard J. Cordovano is a patent attorney and is handling the matter for them. He worked with the inventors as they developed the necessary documents and drawings he needs to file the application.

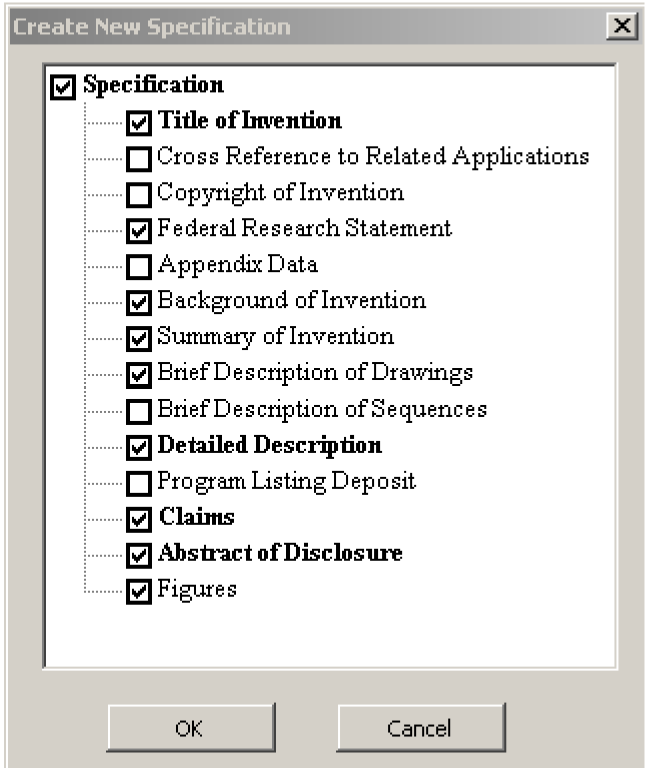
Preparation for Authoring the Patent Application Specification Document

Before authoring the Patent Application Specification document, the filer (the attorney in this case) has already installed the necessary software, and obtained a Digital Certificate from the USPTO. The Digital Certificate is required and insures secure and confidential transmission of the application and associated forms to the USPTO mainframe.

The filer also reformatted the necessary documents to Arial (alternately, CG Times or Times New Roman) since he will cut-and-paste information into the specification document he will create in PASAT (or TSA), and prepared the necessary scans in the proper format (black and white TIFF images at 300 dpi with CCITT Group 4 compression). For this document, the filer has scanned in four figures and one complex chemical equation.

Authoring the Patent Application Specification Document

With the source document open, the filer launches PASAT and opens a new utility application template. Prior to the empty template appearing, a window displays the various sections that he will have to fill out for this specification. The sections in bold, like Abstract of Disclosure, are required for this specification, whereas the Figures section isn't required. Looking at the list, the filer selects the required sections and the optional Figures section he needs and clicks OK.



A blank template appears along with the Office Assistant that will help him in preparing the specification. The filer copies the title from his source document, then displays his specification document. After placing the cursor at the appropriate spot, he pastes the title into the specification.

The filer does this for the various sections he is required to include as well as those optional sections he chooses to include.

At various points in the process of creating the Patent Application Specification, the filer saves his document-in-progress, saving it in the .s4w format in the same folder as his source documents and scans. The file location is for convenience, should he have to come back to the document at a later time (if he realized after started that he was missing a piece of information or a scan, he could save his work and not have to start all over again later). The .s4w format facilitates the easy translation of the document into the final .xml format that will be sent to the USPTO.

While entering data for the Detailed Description section, he sees a special scientific character. By placing the cursor in the specification document where he wants the symbol to appear, the filer doesn't copy-and-paste, but uses the Office Assistant. After looking for the symbol in a table listing, he selects the symbol, clicks Insert and it appears in the specification document.

[0012] $c = {}_{d} / {}^{p} t \sigma$

[0013] where σ is in Siemans/cm, t=thickness of the sensing element, and c=conductance in Siemans. As can be seen from the equation, as p/d increases, the conductance increases. The ratio of p/d can be viewed as an inherent amplification factor.

[0014] In the experimentation, the sensor was mounted in a teflon block having gold pressure contacts and the leads were attached to a Keithley 616 digital electrometer. One of the electrodes was biased using a 1.45 volt mercury cell. Conductance data as a function of time were recorded with an IBM PC/AT computer equipped with a 12-bit analog to digital convertor. The sensor mounted in the teflon block was placed inside a glass housing with provisions for electrical leads to pass through the housing for connection to the electrometer. The housing was evacuated using a vacuum pump and nitrogen was added to bring the pressure inside the housing to 540 Torr. Nitrogen dioxide gas withdrawn from the cylinder containing liquid N_2O_4 was added to the housing to bring the pressure up to 600 Torr, thus producing a 10 vol % nitrogen dioxide in nitrogen atmosphere inside the housing.

Later, while copying another paragraph into the specification document, he accidentally tries to copy and paste a special character that could not be converted. After pasting the paragraph into the specification, he sees in large red type: **Unknown Symbol**. After seeing this he highlights the **Unknown Symbol** text and again uses the Office Assistant to help him place the proper character into the specification document.

These large red call-outs make it easy for him to be assured that he's not missing any valuable data in the specification document and saves him the time of having to look at every character looking for special symbols.

Towards the end of the Detailed Description section, the filer comes across a complex chemistry equation. Prior to beginning to create the specification document, this equation was identified as being too complex to copy-and-paste, so a scan was created for this equation.

Placing his cursor where the equation is to appear, the filer uses the Office Assistant to help. The Office Assistant opens a dialogue box for him to locate the scan and after highlighting the correct file and clicking the OK button, places the image in the specification document.

The Claims section works like the others with the filer copying and pasting information from his source document into the specification. One addition to the usual procedure is that he uses the Office Assistant to distinguish between claims. After pasting the first paragraph of the first claim, the filer uses the Office Assistant to create a new paragraph for the second paragraph of the first claim. After pasting the second paragraph, he uses the Office Assistant to create a second claim (first paragraph).

[c4]

4. The apparatus of claim 3 further including means for converting said conductance or resistance value to an amount of nitrogen dioxide present in said gas.

[c5]

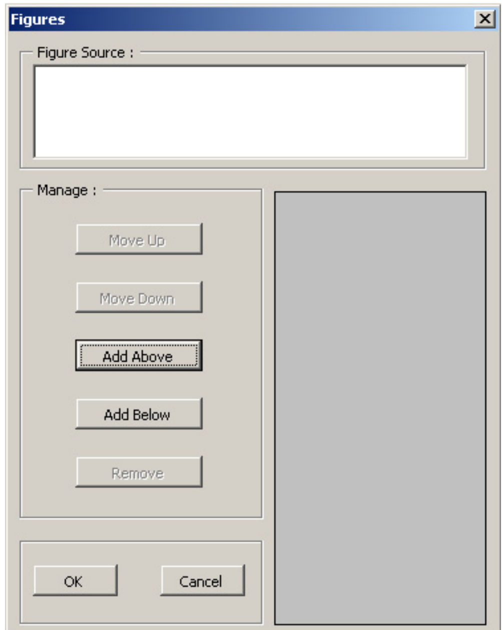
5. The apparatus of claim 3 where said electrodes are interdigitated electrodes and are encapsulated in polystyrene.

[c6]

6. The apparatus of claim 3 where said electrodes are interdigitated electrodes disposed on an inert substrate and polystyrene is deposited on said substrate between fingers of said electrodes.

The last section to be completed is adding the figures.

With the Office Assistant, the filer opens the Figures window to link his scans to this document.



The Figures window allows him to add (and remove) images, arrange the order, and even view a small version of the image (this aids in verifying the image file name to the image itself).

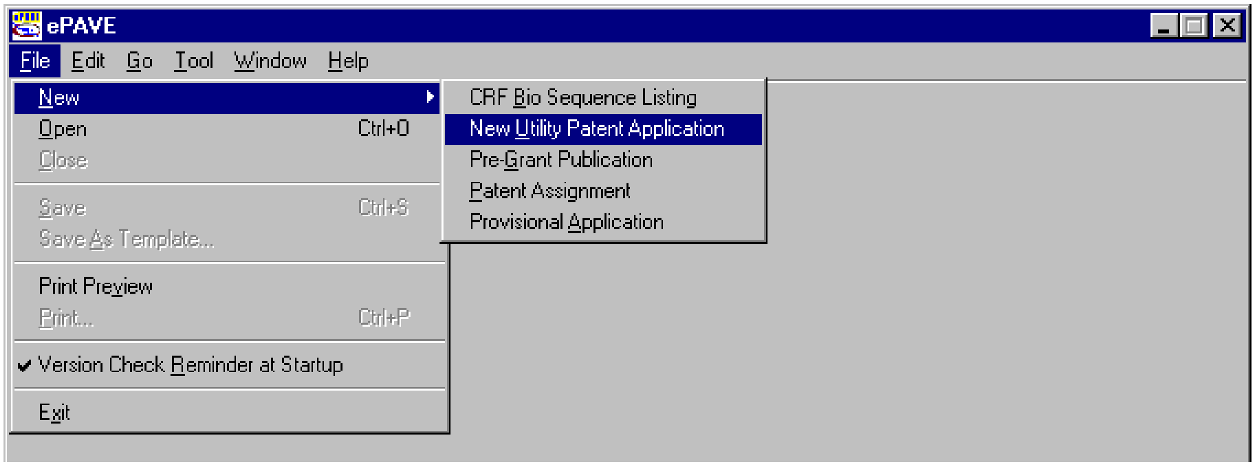
Once all the sections are complete, the filer saves the document one last time and then exports it as an .xml file. The authoring tool (PASAT or TSA) does all the converting work for him, resulting in the .xml file that will be sent to the USPTO. After saving the converted file, the filer views the .xml file in PASAT. This opens his copy of Internet Explorer 5.0 and displays the file as it will be seen at the USPTO and allows him to view his work and verify the attached scans at actual size.

The last step the filer does is use the Save As option to save the application specification as a .doc file. This version of the file can be archived, or used to send to other parties without those recipients having to install the PASAT software.

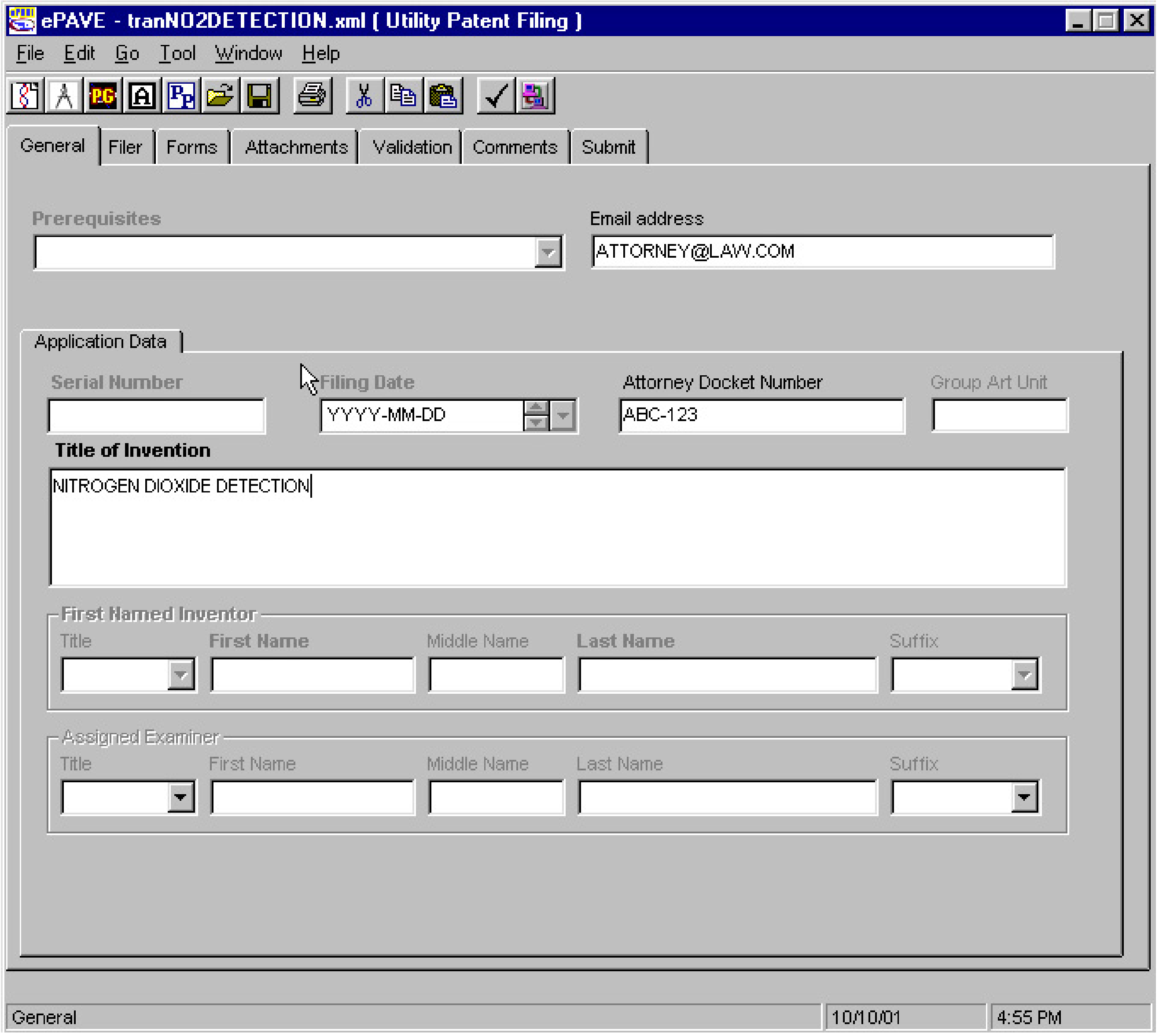
Creating Necessary Transmittals and the Coversheet

With the specification document complete, the filer works on the other necessary forms, such as the fee transmittal, application data sheet, and assignment coversheet. All of these forms are developed using the ePAVE application.

The filer launches the application and selects a New Utility Patent Application from the File menu.

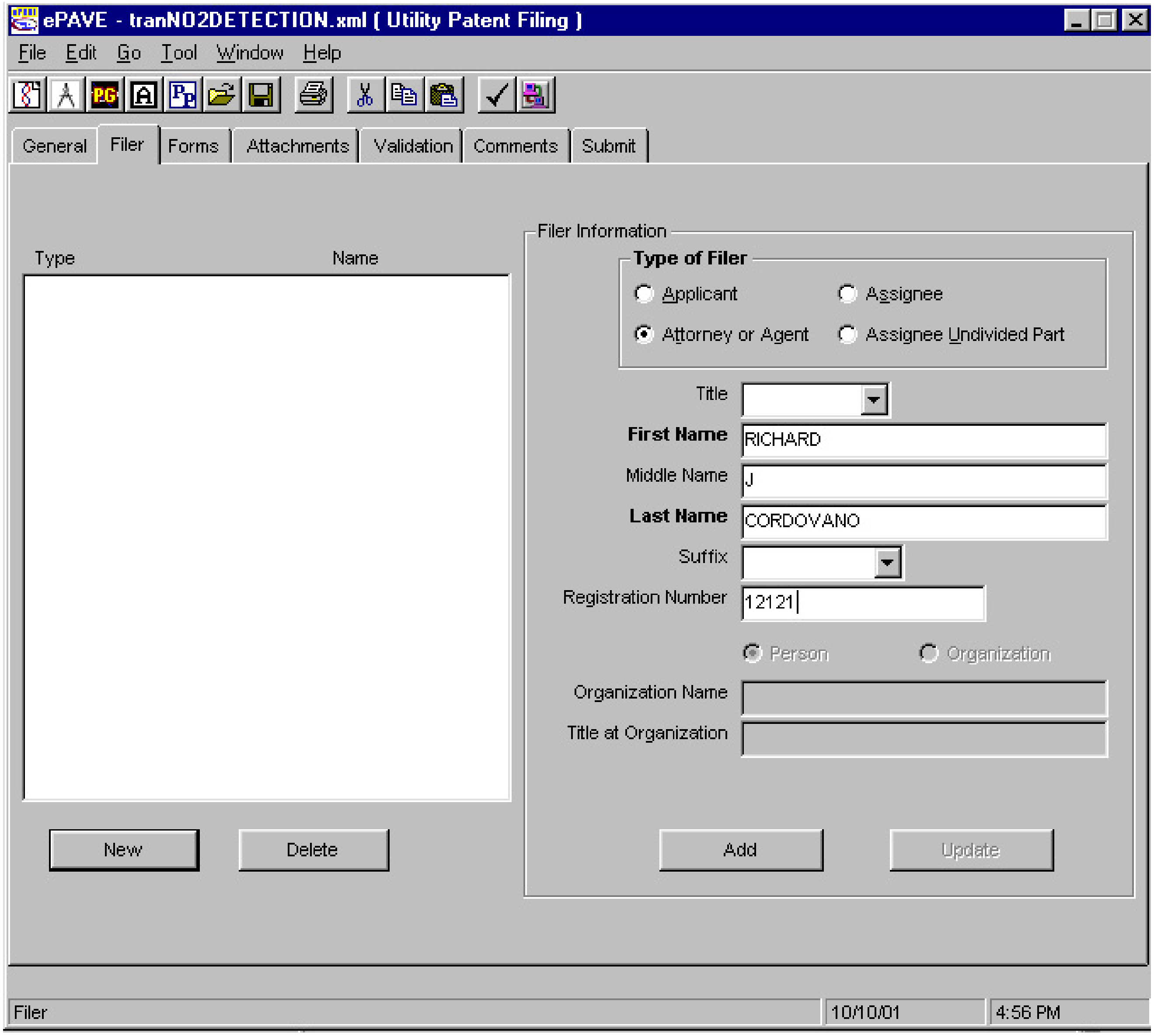


Then he picks a location and creates a folder where the files developed in ePAVE will be stored. The ePAVE window then displays the General tab and other tabs where the filer will enter information.



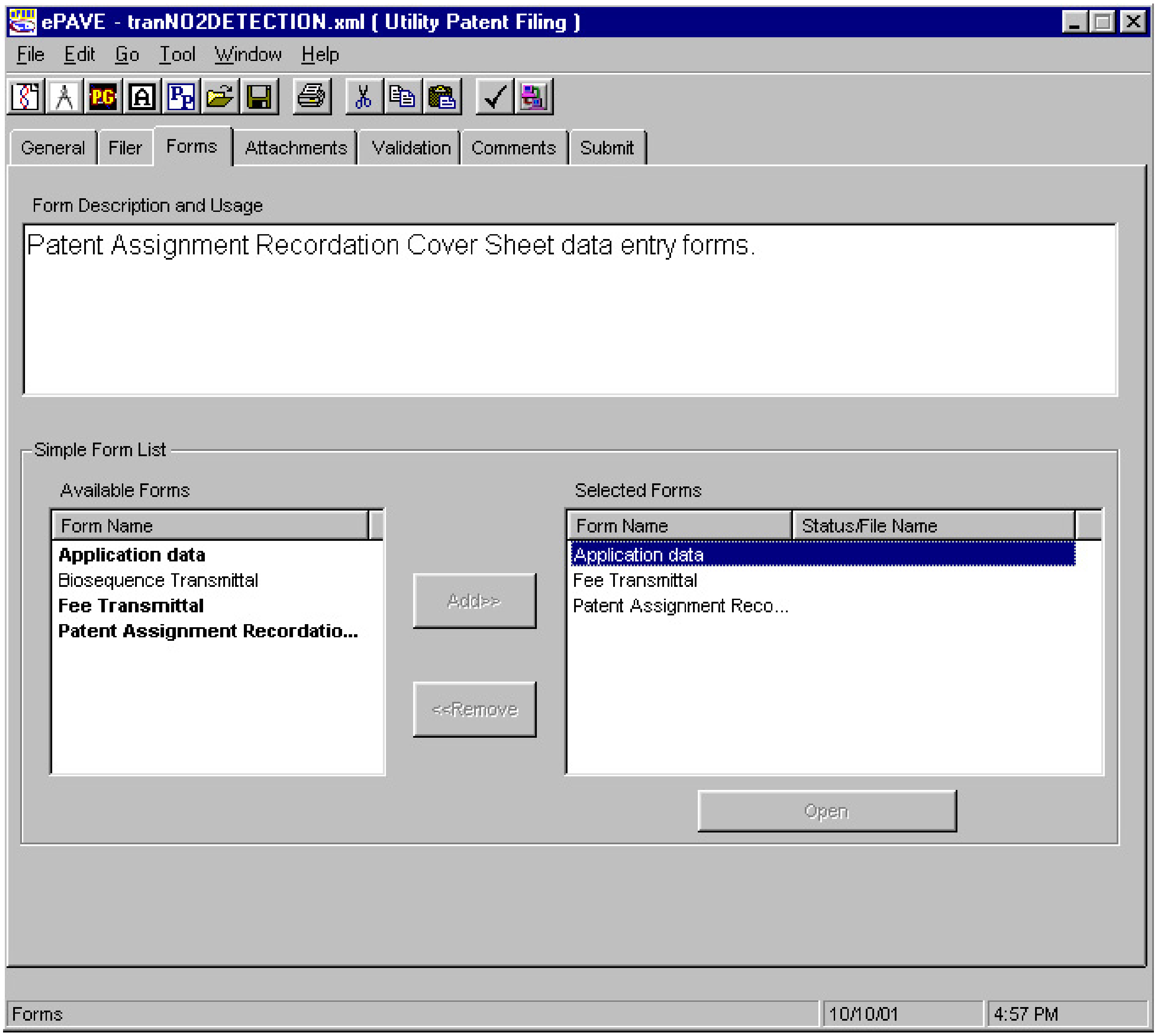
As he goes through the various tabs, grayed out fields (such as Prerequisites shown above) do not apply to a new utility filing or are not filed in by the user (such as Filing Date shown above).

In the General tab, the only fields he can enter information into are the Email address, Attorney Docket Number, and Title of Invention. After entering that information he clicks on the Filer tab.



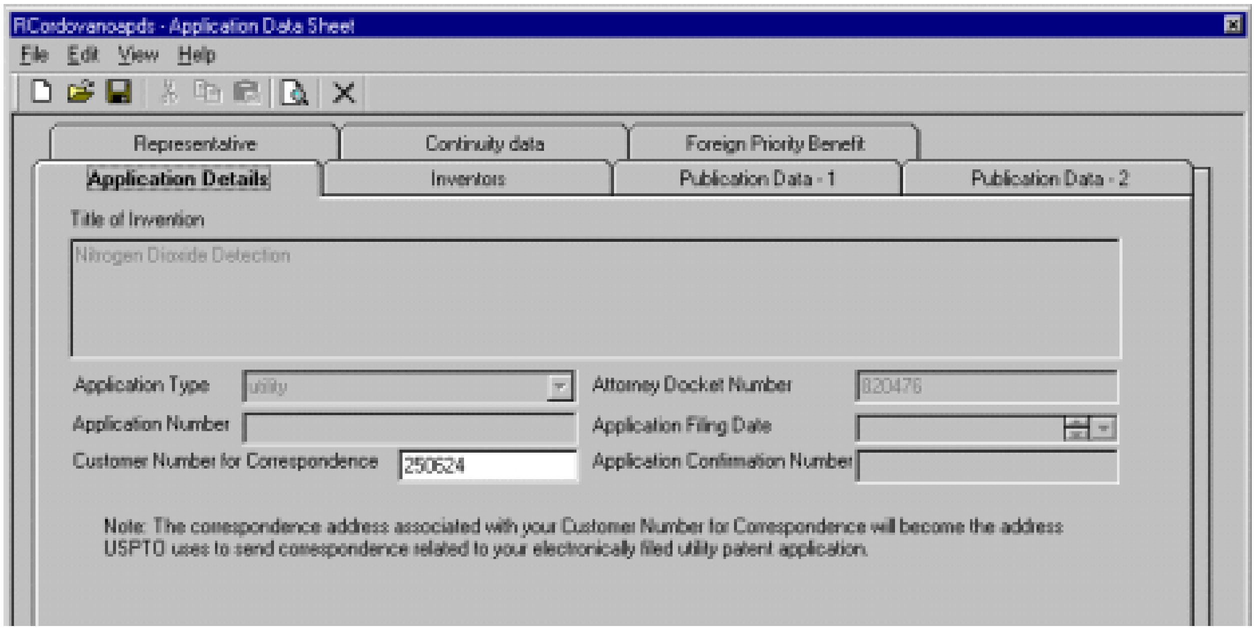
In the Filer tab, he selects the Attorney or Agent radio button, "Mr." From the drop-down list in the Title field, and enters "Richard" and "Cordovano" in the appropriate First Name and Last Name fields. After clicking the Add button at the bottom of the right hand side of the window, he sees the formation in the left hand side of the window.

After filling this out, he clicks on the Forms tab which displays the forms he must include and optional forms he may choose to include if the particular filing calls for it.



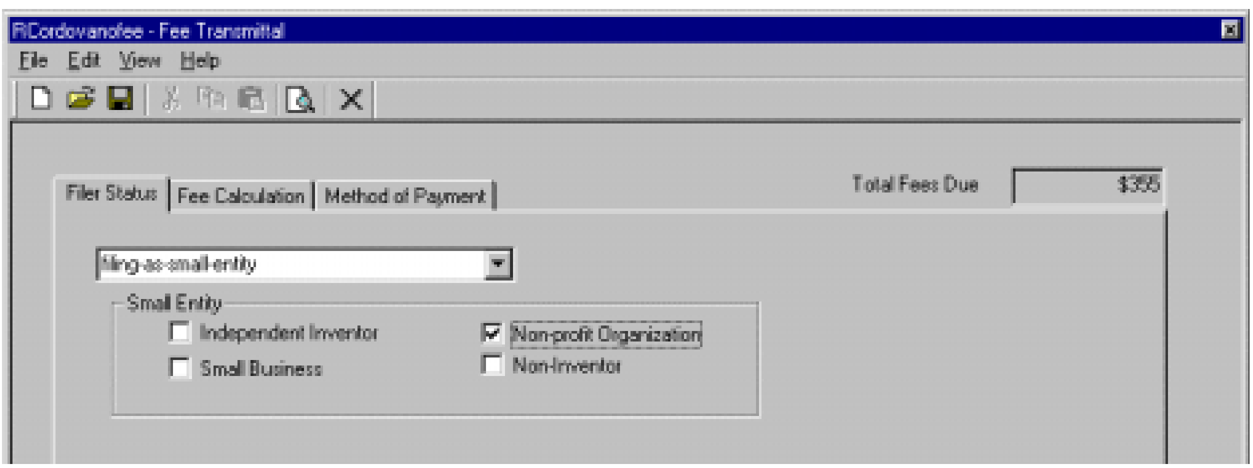
Since the filer is filing a new utility patent, the Fee Transmittal and Application data forms are required and already appear in the Selected Forms list. He also elects to fill out a Patent Assignment Recordation Form by clicking on it in the Available Forms field and clicking the Add>> button. He sees the form now appearing in the Selected Forms field.

The filer opens the Application data form and the window displays a series of tabs for the various parts of that form.



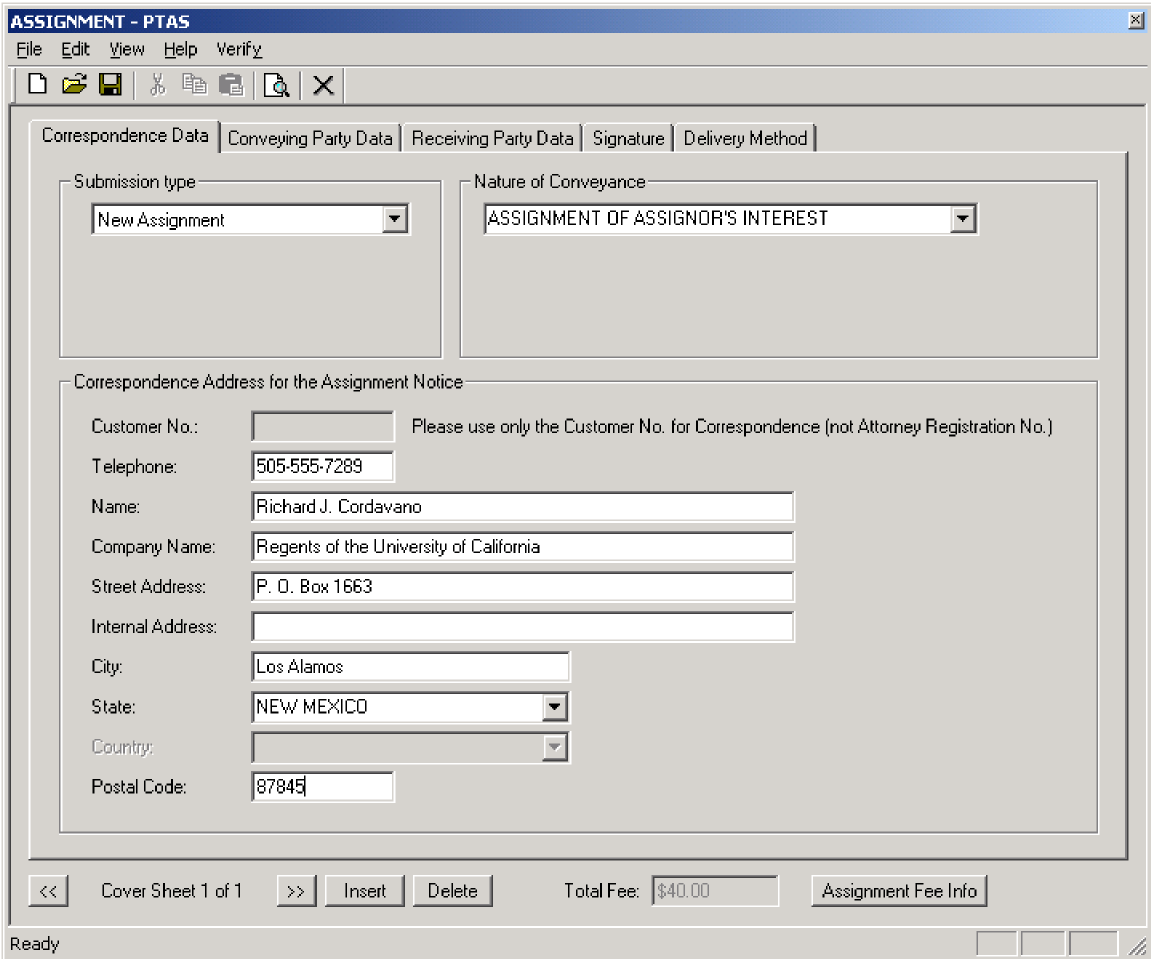
The filer enters information into fields of the Application Details (such as the type of application), Inventors (listing the names of all three inventors), Publication Data - 1 (if and when the patent will be published), Representative (his name), Continuity data (no continuity data for this application) and Foreign Priority Benefit (no priority claimed for this application) tabs and returns back to the Forms tab.

He then opens the Fee Transmittal form to determine filing status, cost, and method of payment. The window changes to display three tabs for the parts of the Fee Transmittal form.

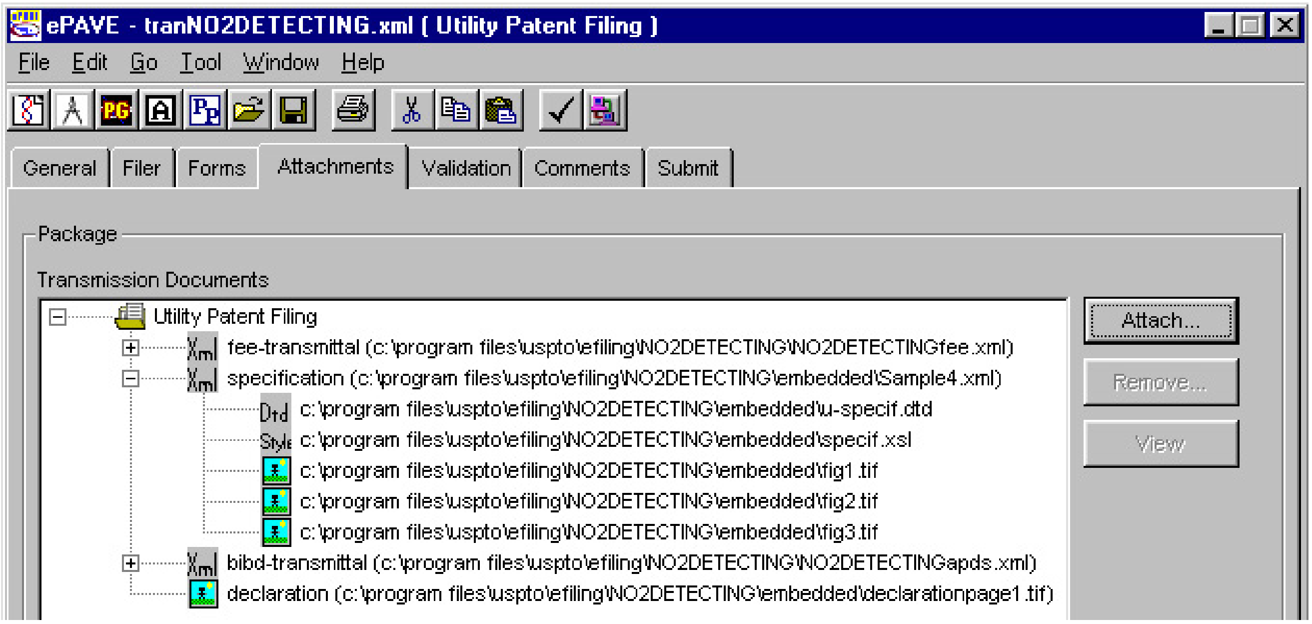


Just like the Application data tabs, the filer fills out the Filer Status, Fee Calculation, and Method of Payment tabs to calculate the cost of filing and how it will be paid. The Total Fees Due field (on the top right hand side of the window) displays the current cost of filing and changes as the filer adds or alters information in relevant fields.

Finally, he opens the Patent Assignment Recordation Form and the window changes to display tabs for the parts of that form.



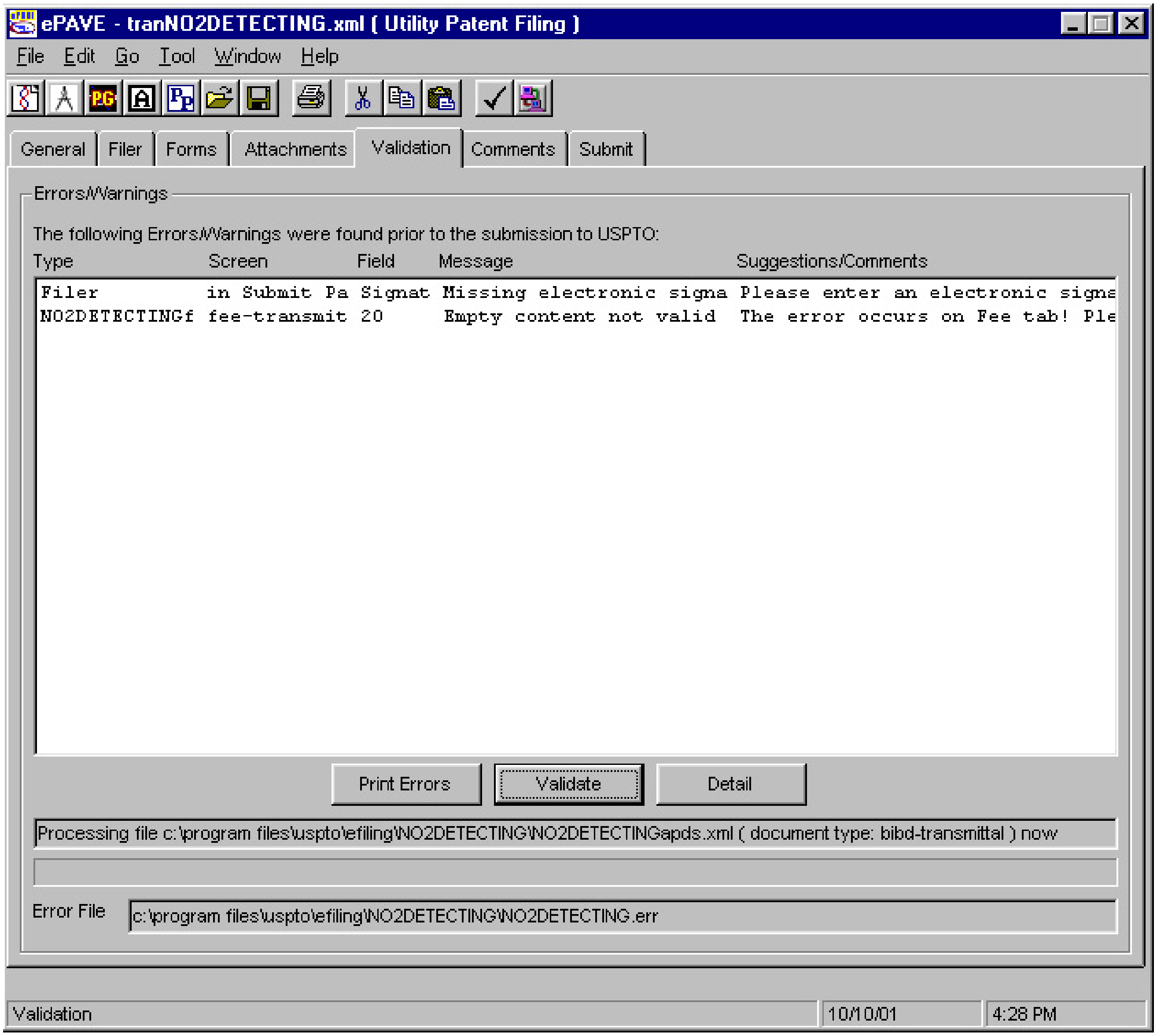
Working through the tabs, the filer fills out the necessary information for the Correspondence Data, Conveying Party Data, Receiving Party Data, Statement and Signature, and Delivery Method tabs. Afterwards, the filer returns to the Forms tab. Since he has filled out the two required forms and the one optional form, he continues by clicking on the Attachments tab.



The Attachments tab is where the filer attaches the .xml specification document which was exported from the .s4w file that he created in PASAT. He clicks on the Attach... button on the right hand side of the window, and then from the dialogue box that appears, navigates to the location of the .xml specification file.

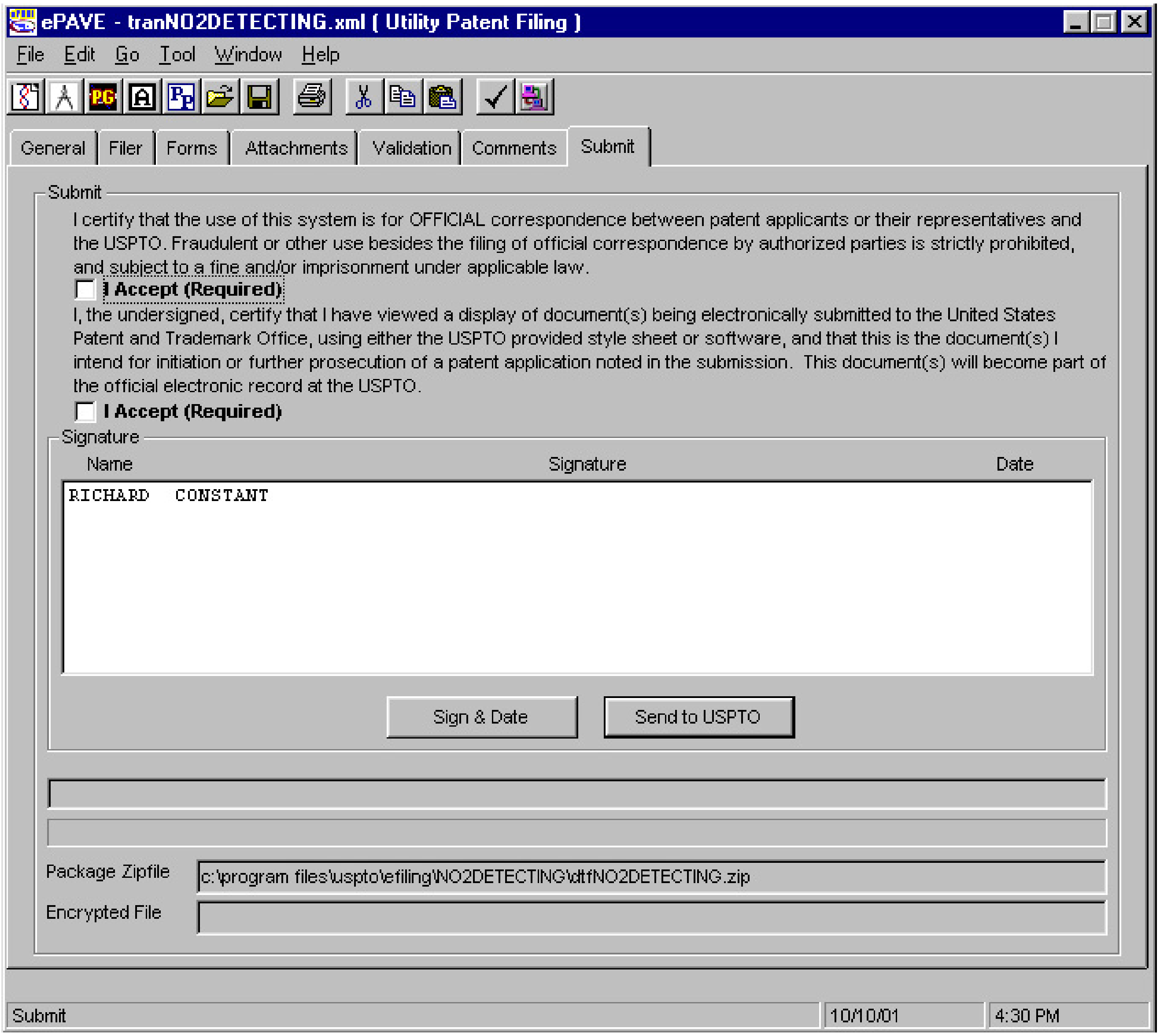
This tab also allows him to view and remove any of the attachments listed, useful if he accidentally attached the wrong specification file.

The Validation tab allows the filer to check his forms for completeness prior to transmitting to the USPTO mainframe.



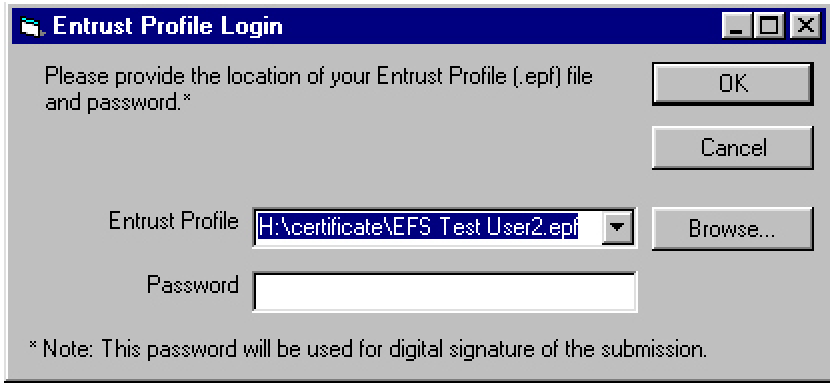
Any possible errors or warnings are listed and can be printed or selected and viewed in greater detail. After looking over the results of the Validation tab, the filer amends key fields and revalidates his work. The second time the field is blank, indicating an error-free submission.

Since the filer has no additional comments to add to this submission, he skips the Comments tab and proceeds to the Submit tab to transmit to the USPTO his package of .xml forms he created in ePAVE and the specification he exported from the document he created in PASAT.



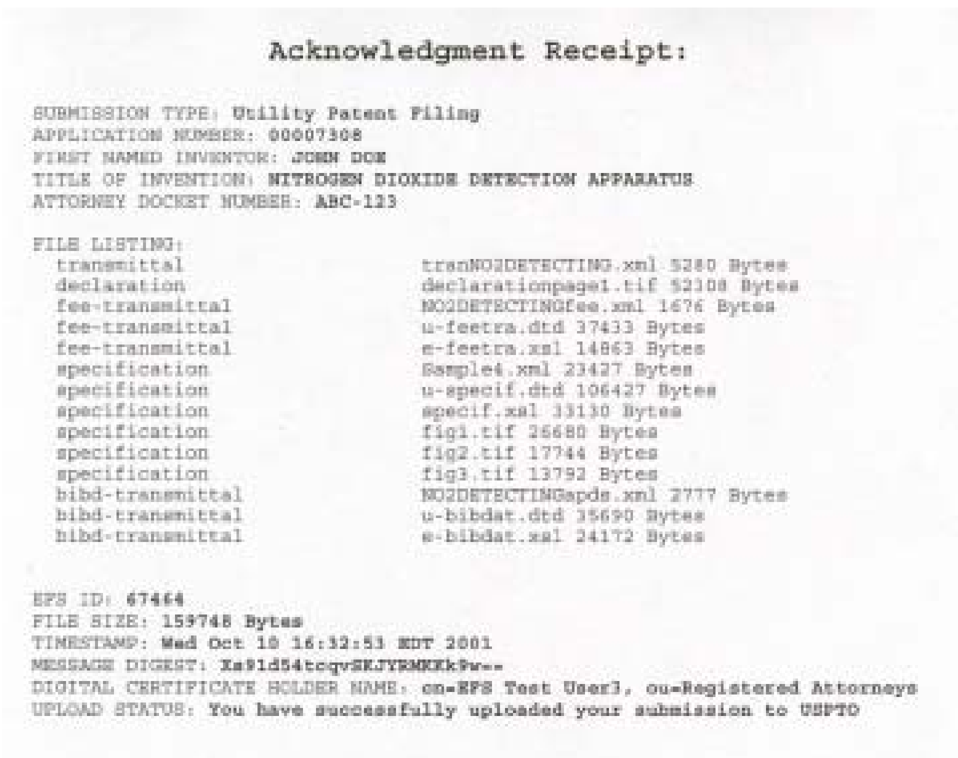
In the Submit tab, the filer clicks the two required check boxes as a sign of agreement to the two statements. He then electronically signs and dates the submission with the dialogue box that appears after clicking on the Sign & Date button. Once that's done, he clicks the Send to USPTO to begin transmitting his files.

Before transmission begins, the Entrust Profile Login window appears:



This window facilitates the encryption of the forms as they are transmitted to the USPTO mainframe. It is based on the profile and password designated when the filer created his digital certificate using the USPTO Direct security software. After clicking OK, the files are transmitted.

When transmission is complete, the server returns a acknowledgement receipt to the filer. The receipt is saved in the same folder that was created for this particular submission.



Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:

transmittal	tranNO2DETECTING.xml 5280 Bytes
declaration	declarationpage1.tif 52108 Bytes
fee-transmittal	NO2DETECTINGfee.xml 1676 Bytes
fee-transmittal	u-feetra.dtd 37433 Bytes
fee-transmittal	e-feetra.xsl 14863 Bytes
specification	Sample4.xml 23427 Bytes
specification	u-specif.dtd 106427 Bytes
specification	specif.xsl 33130 Bytes
specification	fig1.tif 26680 Bytes
specification	fig2.tif 17744 Bytes
specification	fig3.tif 13792 Bytes
bibd-transmittal	NO2DETECTINGapds.xml 2777 Bytes
bibd-transmittal	u-bibdat.dtd 35690 Bytes
bibd-transmittal	e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKKk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO

Figure 139: Acknowledgement Filing Receipt

The receipt includes, among other things, a unique EFS ID number, a Timestamp of the date and time of the up load, and lastly, the Upload Status, which confirms that the submission was successfully uploaded to USPTO. The filer prints out the receipt for his records.

CREATING A PRE-GRANT PUBLICATION SUBMISSION

Pre-Grant Publication submission filed using EFS will contain publication ready text of Patent application information including the specification document and the appropriate fee information.

You will author the front cover of the patent application publication information using the Application Data form provided in EFS ePAVE desktop application. You will author the publication ready specification text with or without figures using one of the EFS authoring tools. Please refer to one or both EFS Authoring User Manuals for guidance.

Before you can enter the requested information for a new EFS submission, you must first create a new folder in which you will store all ePAVE created files and submission attachments.

To create a new submission:

1. From the main menu, select **File**.
2. Select the **New** submenu. A dialogue box titled **New Submission** will appear (detailed in paragraph below).
3. Select and/or create a submission folder.

The ePAVE software will automatically save files for this submission in this folder. This folder may include the XML (eXtensible Markup Language) transmittal document, a fee XML document, an application data XML document, an error log containing any validation errors, the Acknowledgement Receipt received from the USPTO, and both an encrypted and unencrypted zip file containing the package of the entire submission you will send to the USPTO.

General Tab

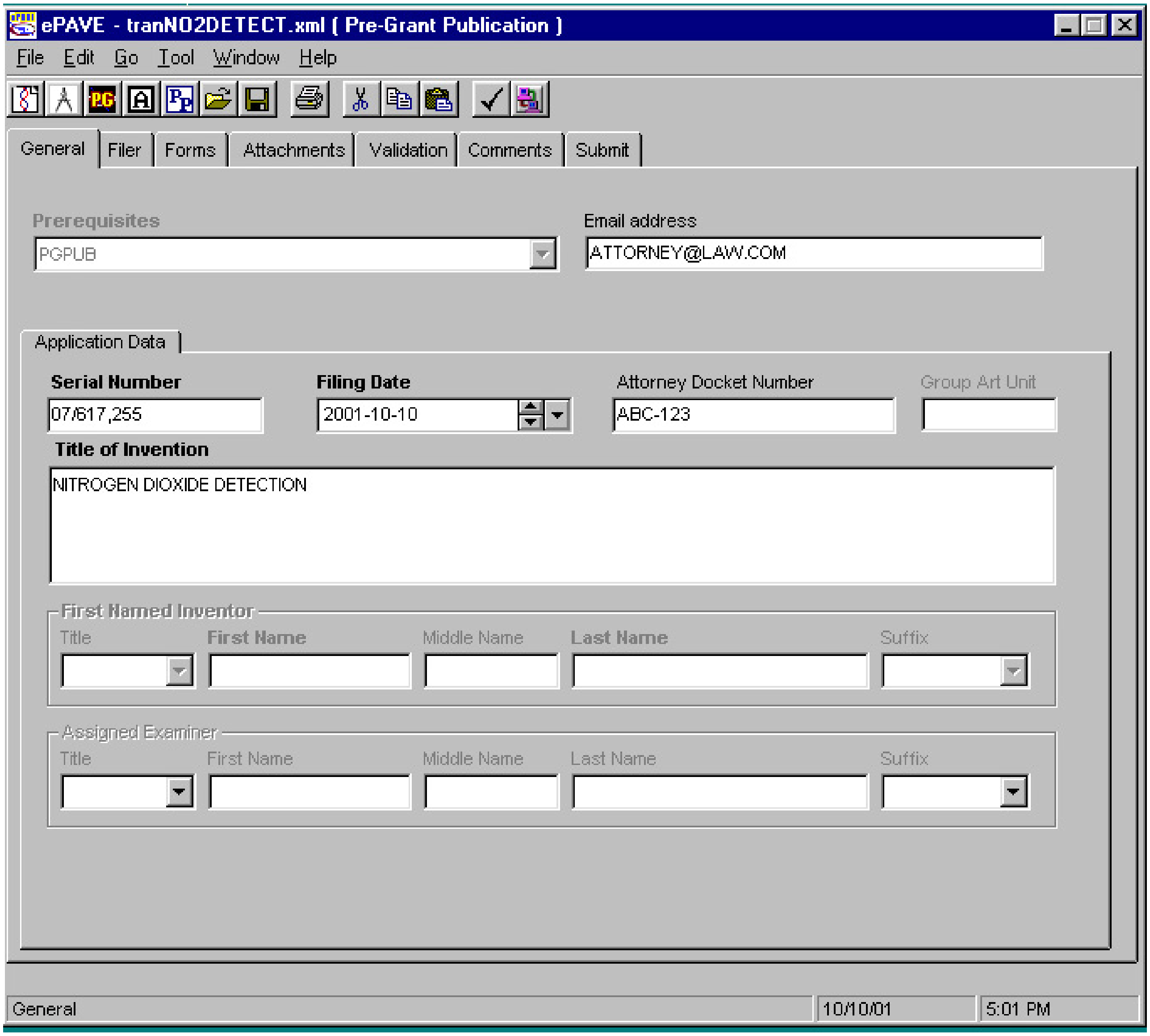


Figure 140: General Tab

The first cursor on the General tab for a pre-grant application will appear in the Email Address text field since this is the starting point for entering in application information on this tab screen.

The Prerequisites selection for a Pre-Grant Publication is automatically entered on the General tab screen.

Type in the requested information and then proceed to the Filer Tab.

Email address:

Enter a primary Internet e-mail (electronic mail) address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address. (Optional)

Serial Number:

Enter the Application Number of the pre-grant publication submission that you are creating.

Filing Date:

Enter the filing date associated with the pre-grant publication submission.

Attorney Docket Number:

Enter the reference number of your choice as a means of identifying your application. This number is not assigned by the USPTO. (Optional)

Title of the Invention:

Enter the full title of the Patent application for which this filing is being submitted. Include all spaces and punctuation. (Required)

Filer Tab

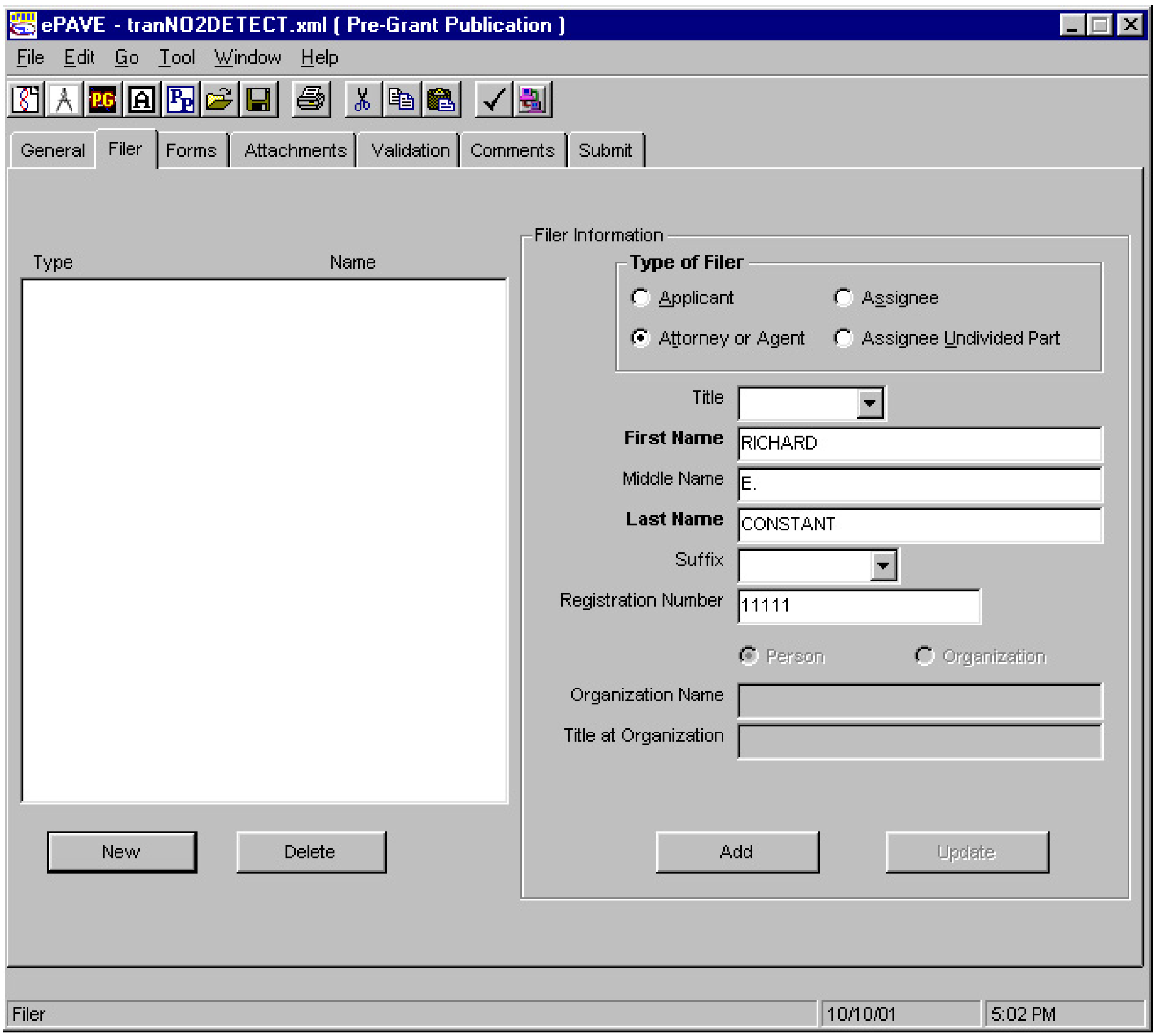


Figure 141: Filer Tab

The Filer tab information is requested for each type of EFS submission.

A Filer is a person or entity signing the transmittal. In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations having people sign on their behalf. If an organization is filing, the Organization name and the Title at Organization of the person signing on its behalf must also be given. Various fields will be available for data entry in accordance with USPTO business rules depending on the type of filer selected.

To complete the Filer tab, follow the steps listed below:

1. Select the **New** button to activate the **Add** button and enable data entry
2. Choose the type of filer by clicking on the appropriate radio button in the **Type of Filer** box.
3. Enter the information requested in the data entry fields. If the filer being added is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons, to indicate whether this assignee is an actual person, or a business or non-profit entity.
4. Click the **Add** button. The new filer entry is reflected with the Type/Name section of the Filer Tab.

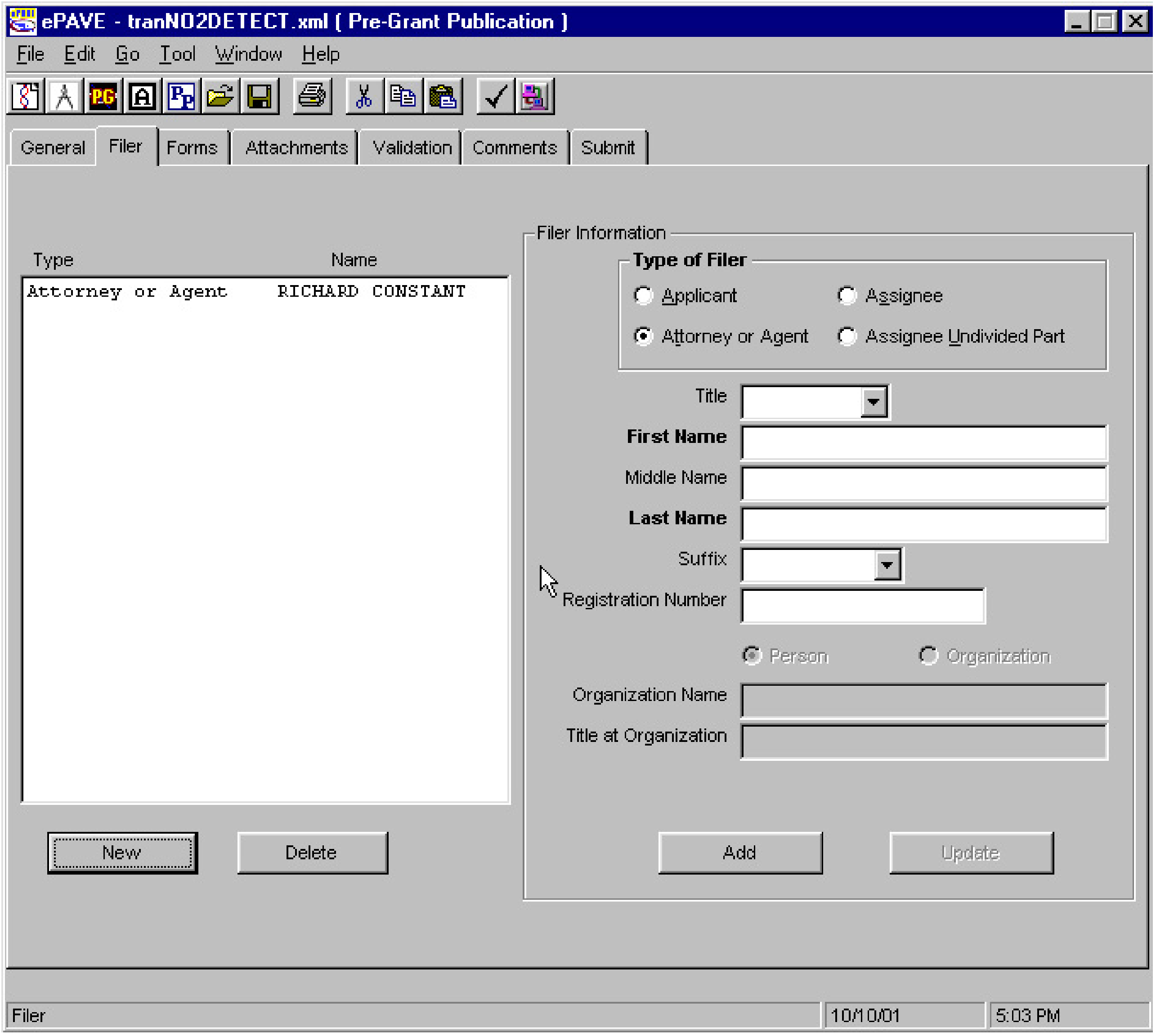


Figure 142: Updated Filer Tab

To add additional filers, repeat steps 1-4 above. The filer information you type will be part of the transmittal form that ePAVE automatically produces as an XML form document.

Applicant:

Identifies the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.

Assignee:

Identifies the filer as the owner to whom the rights and interest of the invention have been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.

Attorney or Agent:

Identifies the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on the behalf of the applicant(s) and/or assignee(s).

Assignee Undivided Part:

Identifies the filer as the owner to whom an undivided part interest of the invention has been assigned by the applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.

The following combinations of filers are acceptable:

- 1 or more attorney(s) or agent(s)
- 1 assignee only
- 1 or more applicant(s) and assignee(s) of undivided part.

If information has been incorrectly entered, ePAVE allows you to edit the information for filers that have already been added.

To change filer data:

1. Select the filer you want to edit from the list, shown in the box on the left, by highlighting the entry with your mouse. The entered information for the selected filer will appear in the appropriate fields in the Filer Information section on the right.
2. Type the changes in the appropriate fields.
3. Click **Update** to insert the changes.

If filers have been incorrectly added, ePAVE allows you to remove them from the list of filers that have already been added.

To delete a filer entry:

1. Select the filer you want to remove from the list, shown in the box on the left, by highlighting the entry with your mouse.
2. Click the **Delete** button.

Type of Filer Radio Buttons/Text Fields

Applicant:

Identifies the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47

Assignee:

Identifies the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.

Attorney or Agent:

Identifies the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).

Assignee Undivided Part:

Identifies the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. It the assignee is an organization, a person must be identified by name and title who is authorized to sign on behalf of that organization.

Registration Number:

Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s) (Optional).

Assignee Radio Buttons/Text Fields

Person:

Select this choice if the assignee filing this transmittal is a person.

Organization:

Select this choice if the assignee filing this transmittal is a business entity or non-profit institution

Organization Name:

Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-project institution (Required for organizations).

Title at Organization:
Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization (Required for organizations).

Forms Tab

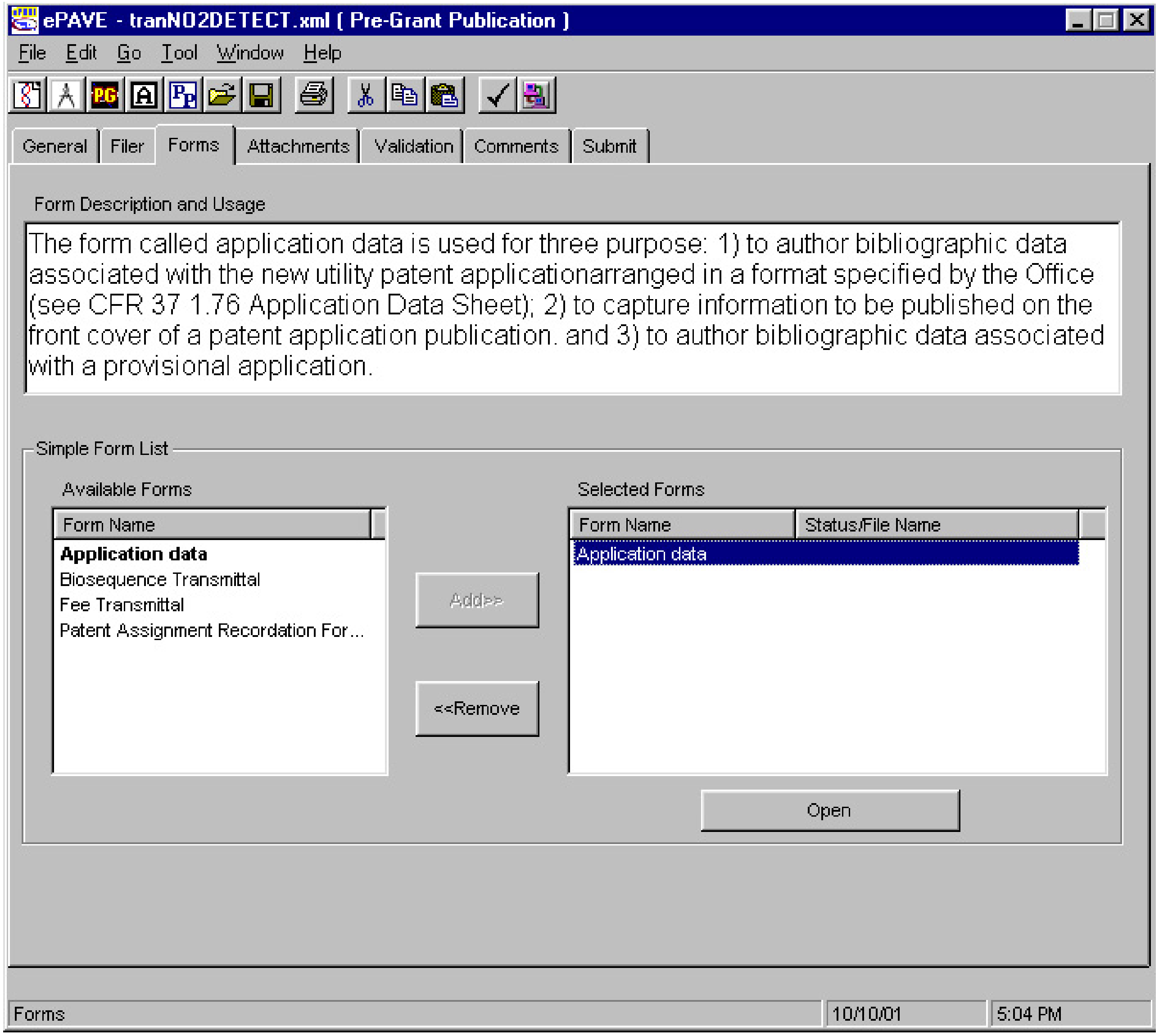


Figure 143: Forms Tab

The Forms tab screen has two sections: Form Description and Usage and Simple Form List. The Form Description and Usage section displays text describing the selected form and its intended use. The Simple Form List section of the screen lists the available forms for electronic filing by name and provides a Selected Forms box which lists what forms will be contained in EFS submission folder to be sent to the USPTO during this electronic filing transaction.

Since you are electronically filing a pre-grant publication submission, when you click on the Forms tab within the Available Forms list, the form titled Application data and Fee Transmittal will appear in bold letters. When a form title appears in bold letters that means that the form is a required form for the type of electronic filing patent application submission you are going to send to USPTO. The required form names will also appear in the Selected Forms screen box.

When you click on the form name either in the Available Form list or Selected Form list, a description of the form and its usage will appear in the Form Description and Usage text display box.

To add a form that is not required from the **Available Forms** box, simply select the name of the form and click the ADD button. You may also double click on the name of the form and it will then appear in the **Available Forms** window. The form will then appear in the **Selected Forms** list.

Any forms listed in the Special Forms box may be removed from the submission, however removal of recommended/required forms may cause validation errors. To remove a form that has been placed in the Special Forms list, select the form from the Selected Forms list and click the REMOVE button.

Note: In addition to removing the form from the Selected Forms list, if the form has been saved (saving any form will automatically cause the form to be attached to the electronic package), you must also remove the form from the electronic package. To completely remove the form from this submission, select the Attachments tab, select the form again, and then click the REMOVE button.

The forms listed in the Available Forms text box are Application data which will assist you in authoring XML documents such as the application data form as defined in 37 CFR 1.76 (Application Data Sheet); a fee transmittal, a Patent Assignment Recordation document for a New Utility Patent application only and the Biosequence Transmittal for a CRF Biosequence Listing filing.

When a form is highlighted in the Selected Forms field, you may click the **Open** button. ePAVE will then assist you in preparing an XML form for inclusion in your submission by opening another set of tab screens where you can enter the information appropriate to the submission you are electronically filing.

For example, if you wish to open an Application Data Form, highlight the name of the form in the Selected Forms field. You will see a display of tab screens titled as follows: Application Details, Inventors, Publication Data-1, Publication Data-2, Representative, Continuity data and Foreign Priority Benefit.

After you enter the information requested on each Application Data tab screens you may close the form 2 ways. You can close the form by clicking on X in the upper right hand corner of the screen. Or, you can select Close from the File menu options. When closing the screen you will be prompted by a dialogue box to save the form. After the program successfully saves the document you will be automatically returned to the Forms tab screen.

The completed Application Data and Fee Transmittal XML forms will automatically be attached to the submission. If the Assignment Recordation form is authored it too will be automatically attached to the submission. Proceeding to the Attachments tab you will see the XML forms with the associated directory path for that XML form listed.

Detailed explanation for the Application Data Form tab screens and Fee Transmittal Form tab screens follows.

Note: Fee transmittal – Original Pre-Grant publication submissions in amended or redacted forms that are submitted via EFS do not require the payment of any fees. Thus, creation of a fee transmittal in submissions of these types is not necessary, and may cause validation errors.

Application Data Form Tab Screens

Application Details Tab

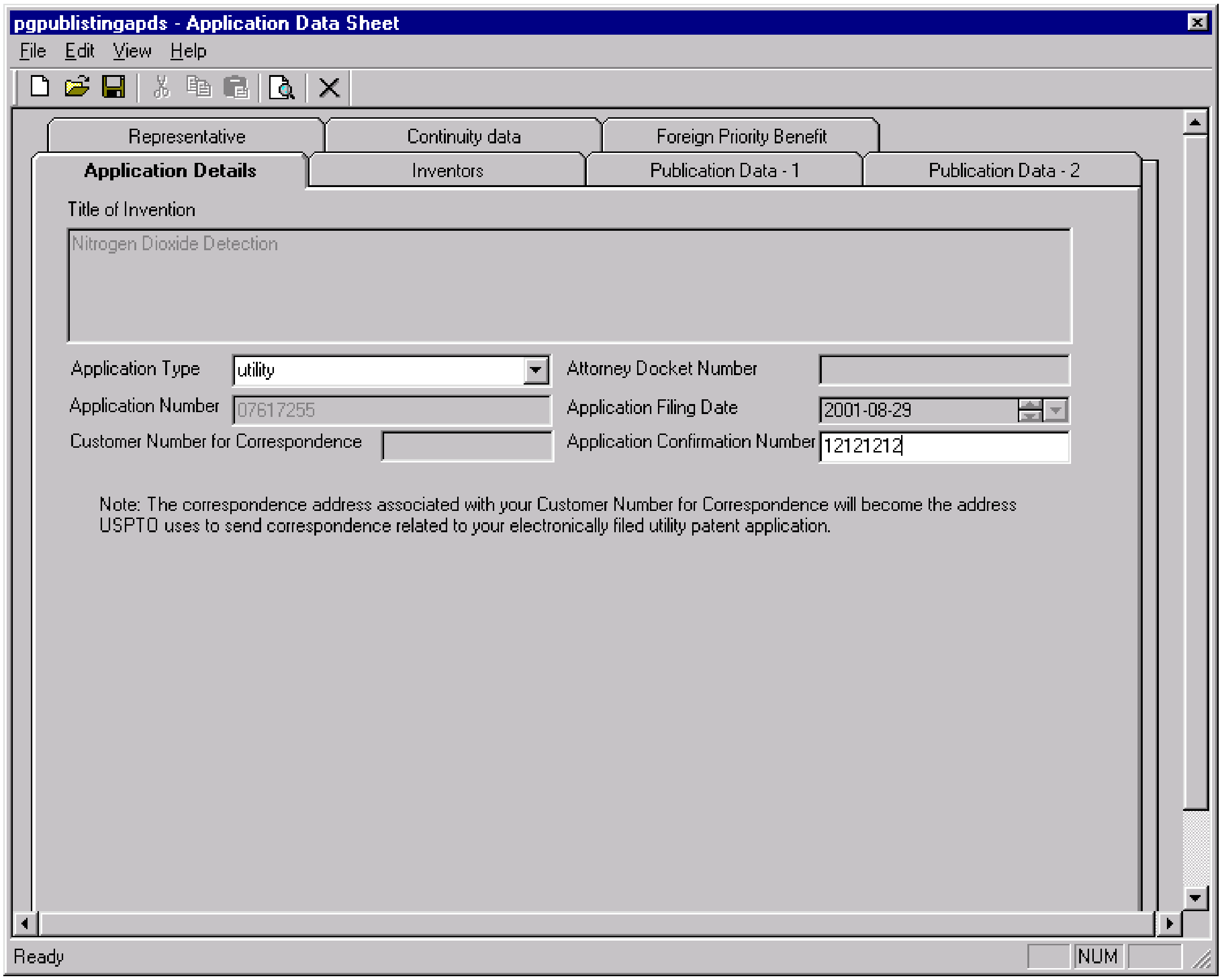


Figure 144: Application Data Form Tab - Application Details Tab for Pre-Grant Publication

The Title of the Invention as you entered it in the General Tab will appear in the Title of the Invention.

1. The title of the invention should already be filled in.
2. Select the type of submission you want to make from the drop down list in the Application Type field. Select either new utility or plant.
3. The Application Number should already be filled in, as should the filing date and the Customer Number. You must have a Correspondence Customer Number to make an electronic submission. You identify a customer number when you request a Digital Certificate. For information on obtaining a Customer Number, visit the Patents Electronic Business Center at www.uspto.gov.
4. Enter the confirmation number of the application associated with this submission for pre-grant publication in the Application Confirmation Number field. This number is found in the upper left-hand corner of your official filing receipt for the Patent application to be published.

A detailed description of each text field can be found in Appendix A of this user manual.

Inventors Tab

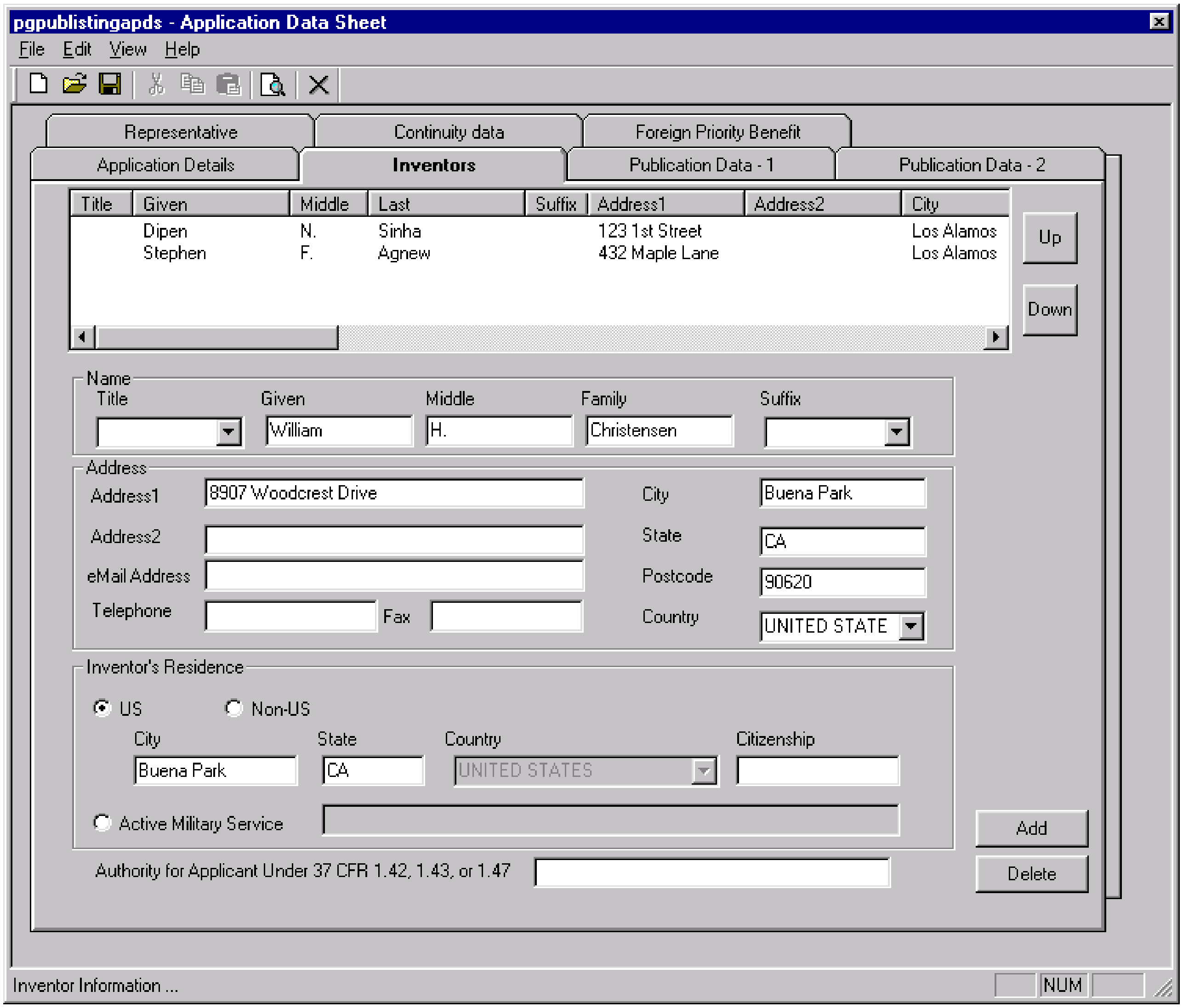


Figure 145: Application Data Form Tab –Inventors Tab

To input First Inventor information:

1. Enter the name of the inventor that is listed first in the declaration of the Patent application for which this filing is being submitted (Required)
2. Enter the inventor's address.
3. Enter the inventor's residence (city, state, country) and citizenship. (Required)
4. Press the Add button and that inventor's name and address information will appear in the top field.
5. After entering the information for the first named inventor please repeat for each named inventor as appearing on the declaration of the Patent application.

In some circumstances an authorized individual may file an application for an inventor. These circumstances are covered by 37 CFR 1.42, 1.43, and 1.47. If this is such an instance, enter the name of the authorized individual in the Authority for Applicant field.

To Delete an Inventor from the application data sheet, highlight the inventor's name and address in the top field, and press the Delete button.

To reorder the list of inventors, use the **Up** and **Down** buttons. Select one of the inventor's names in the list, then select **Up** to place that inventor's name to the top of the list or select the **Down** button to place the name currently listed first in the list in a lower position.

Publication Data - 1 Tab

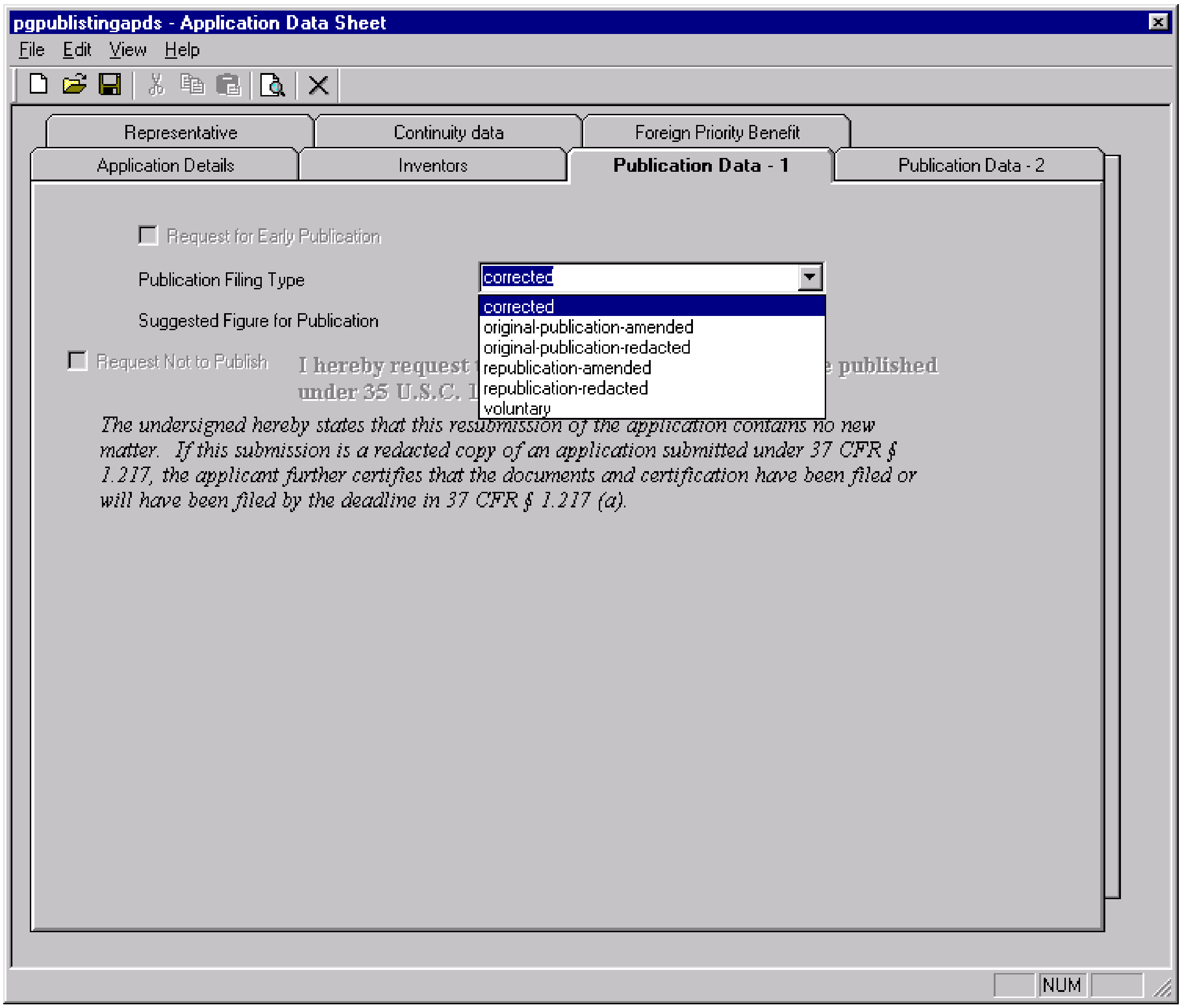


Figure 146: Application Data Form Tab - Publication Data - 1 Tab

When electronically filing a resubmission of the pending patent application under the provisions of 35 U.S.C. 122 (35 U.S.C. 122 (b)) the EFS filer must state that the EFS electronic resubmission of the application contains no new matter. If the resubmission electronically filed is a redacted copy of an application submitted under 37 CFR Section 1.217, the applicant further certifies that the documents and certification have been filed or will have been filed by the deadline in 37 CFR Section 1.217 (a).

To indicate your acknowledgement of these two certification statements click the check box which appears on this screen when electronically filing a pre-grant publication. Your electronic signature on the EFS submission transmittal will indicate that you, the undersigned hereby certify that you are in compliance with the stated rules.

For pre-grant publication submissions select the type of publication filing being filed in this submission from the Publication Filing Type drop down list. You may choose from 1) publication as amended under 37 CFR 1.215(c), 2) publication of a redacted application under 37 CFR 1.217(b), 3) voluntary publication of an application pending on November 29, 3000, under 37 CFR 1.221 and 4) republication of a previously published application under 37 CFR 1.221.

Select a suggested figure for publication on the front page of the Patent application Publication and enter it in the Suggested Figure for Publication field.

Publication Data – 2 Tab

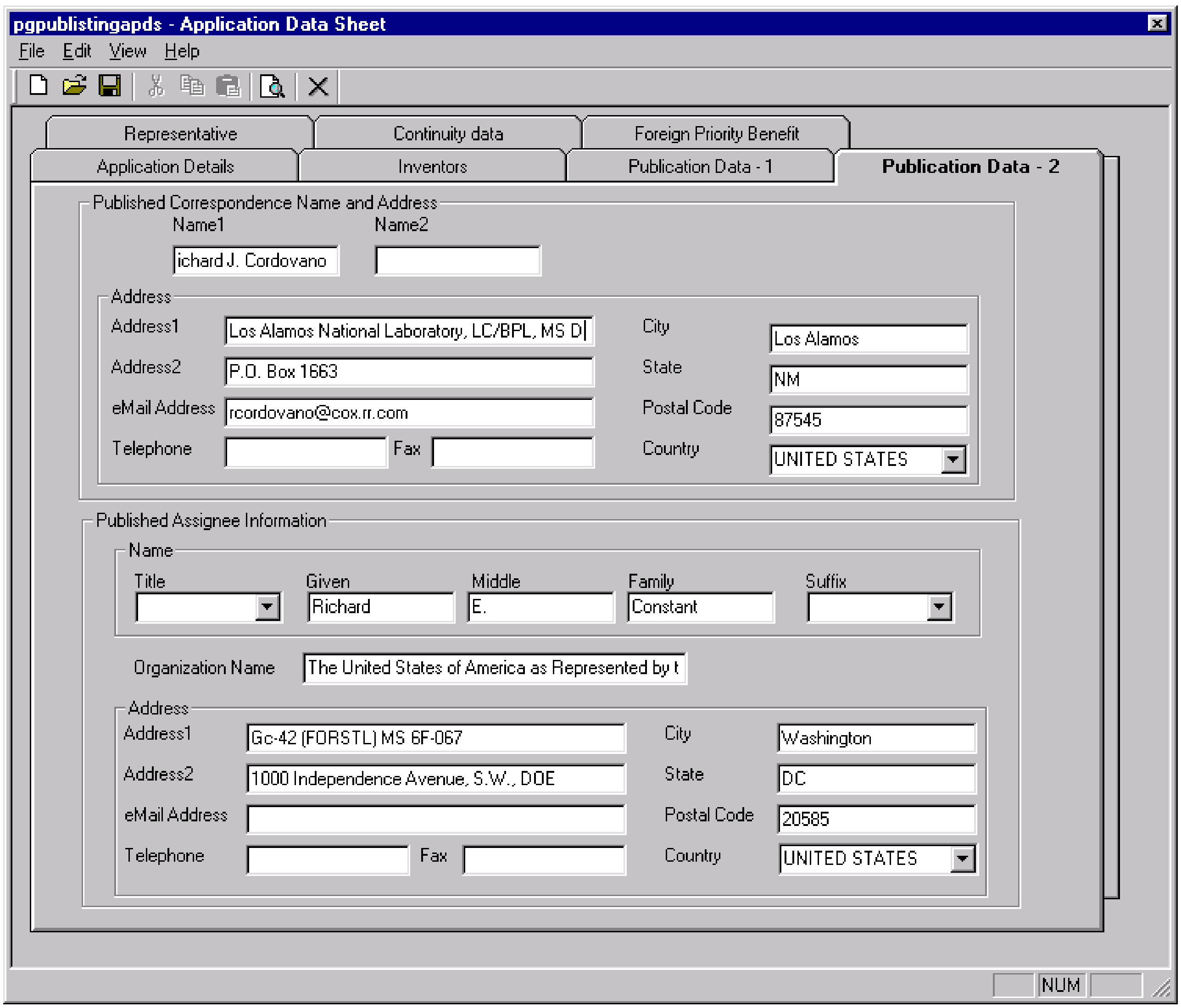


Figure 147: Application Data Form Tab - Publication Data – 2 Tab

This tab screen allows you to enter the Correspondence Name and Address you would like to have USPTO publish as part of the Patent application Publication front page, if you want to use a name and address other than that associated with the customer number published on the pre-grant publication.

In addition to submitting a correspondence name and address for the application publication you may also identify assignee information to be published on the Patent application Publication front cover. This information is optional.

Representative Tab

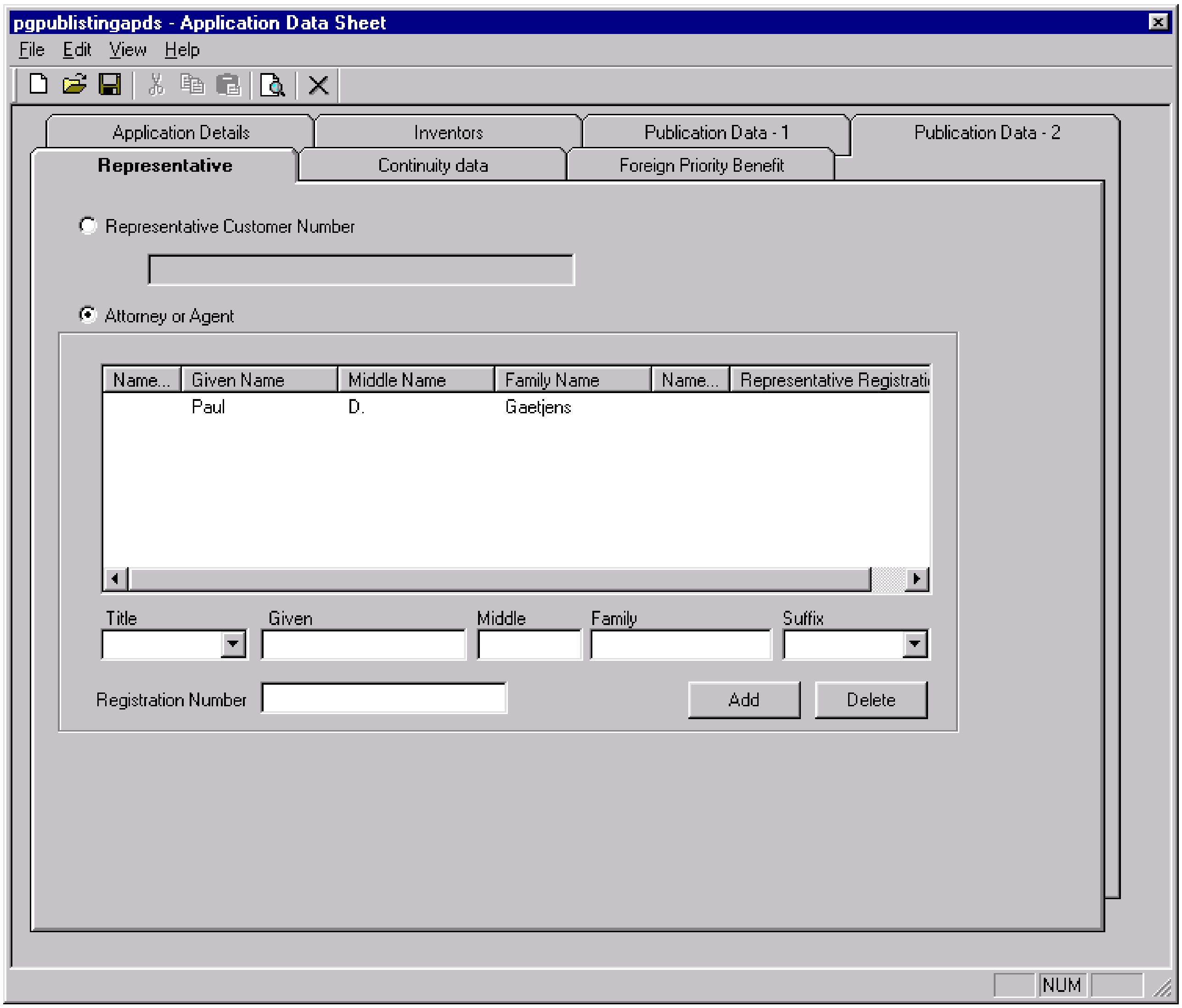


Figure 148: Application Data Form Tab – Representative Tab

1. Click the **Representative Customer Number** radio button (see Appendix A for definition) and enter the customer number associated with the submission being filed in the field.
   OR
   If the representative is an attorney or agent, click the **Attorney** or **Agent** radio button and enter the attorney or agent name information in the name fields. Insert the attorney or agents registration in the Registration Number field.

2. Click the **Add** button to add that name and registration to the list of representatives.

To delete an attorney or agent from the list of representatives, highlight the name and click the **Delete** button.

Continuity Data Tab

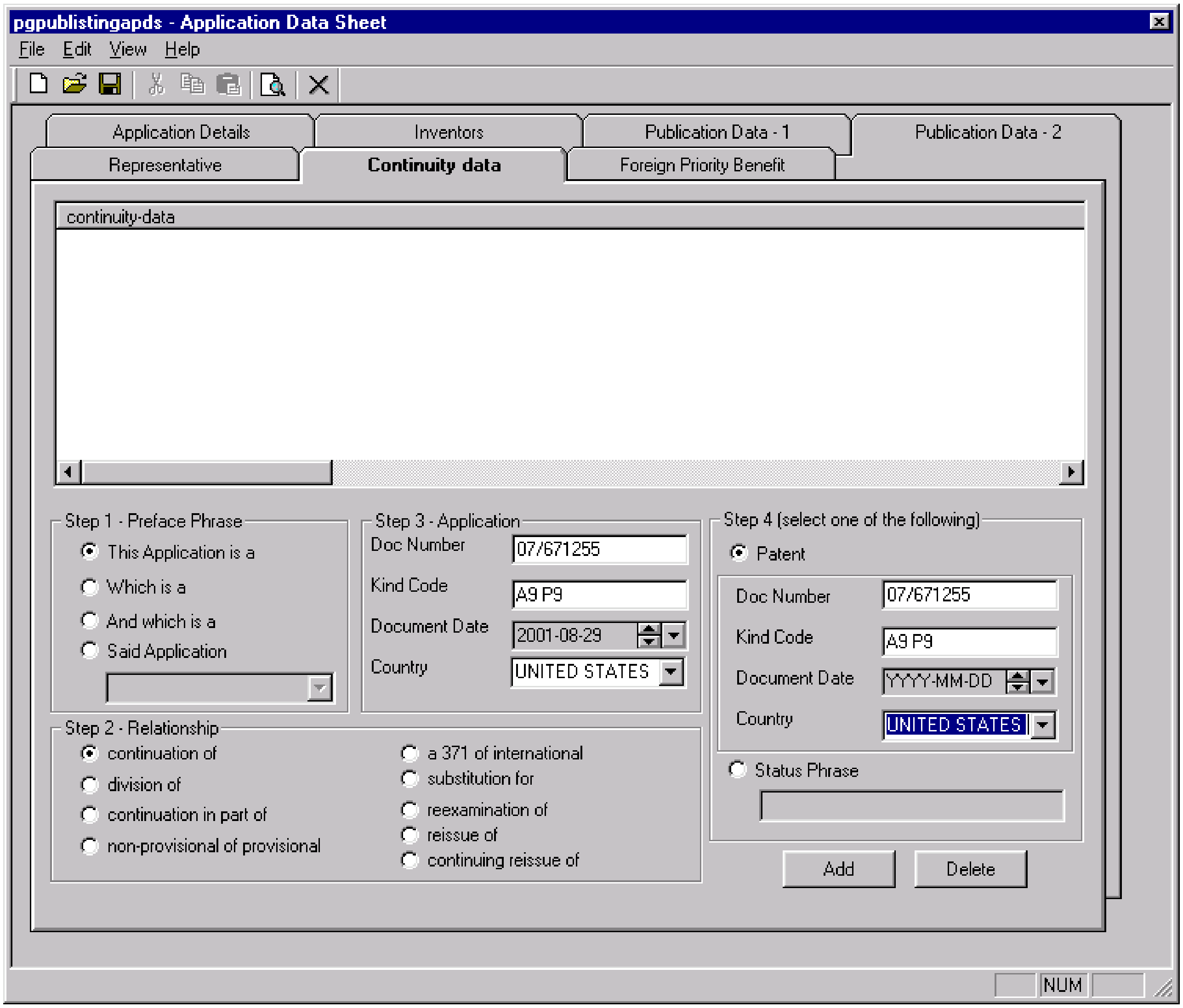


Figure 149: Application Data Form Tab - Continuity Data Tab

1. Select the phrase that you want to include in your continuity data from the choices in the Step 1 Preface Phrase portion of the tab.
2. Select the relationship that you wish to establish between the earlier field application and this submission from the Relationship portion of the tab.
3. Insert the application serial number for the related application in the Doc Number field. If the application has been published, insert the Kind Code of the publication in the Kind Code field. See MPEP Section 1851 for a description of Kind codes.

A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16 that provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins are below:

Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication:

- New -utility A1 (published document); Note: USPTO is not accepting new utility plant applications via EFS at this time.
- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the filing date of the related application in the Document Date field.
5. Enter the country of filing in the country field.

If the related application has issued into a Patent, click the **Patent** radio button and enter the Patent number, its kind code, the Patent date and the country where it was Patented in the Step 4 portion of the tab.

If the related application did not issue as a Patent, click the **Status Phrase** radio button and insert the status of the application, usually pending or abandoned.

6. Click the **Add** button to include the data in the list in the parent field.
7. Repeat for any additional related applications.

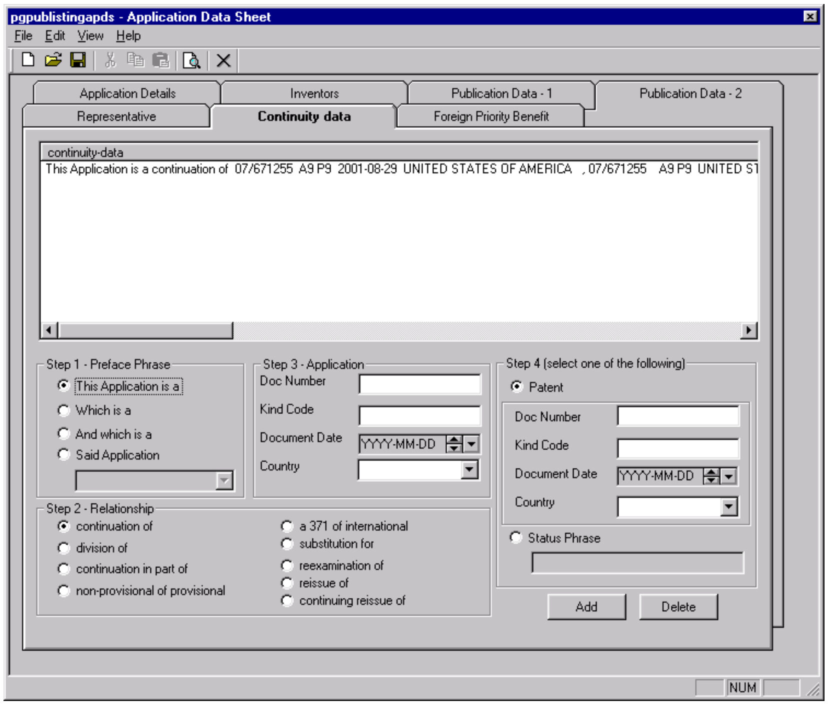


Figure 150: Updated Application Data Form Tab - Continuity Data Tab

To delete an application from the continuity data, highlight the entry to be deleted in the parent window and click the **Delete** button.

Foreign Priority Benefit Tab

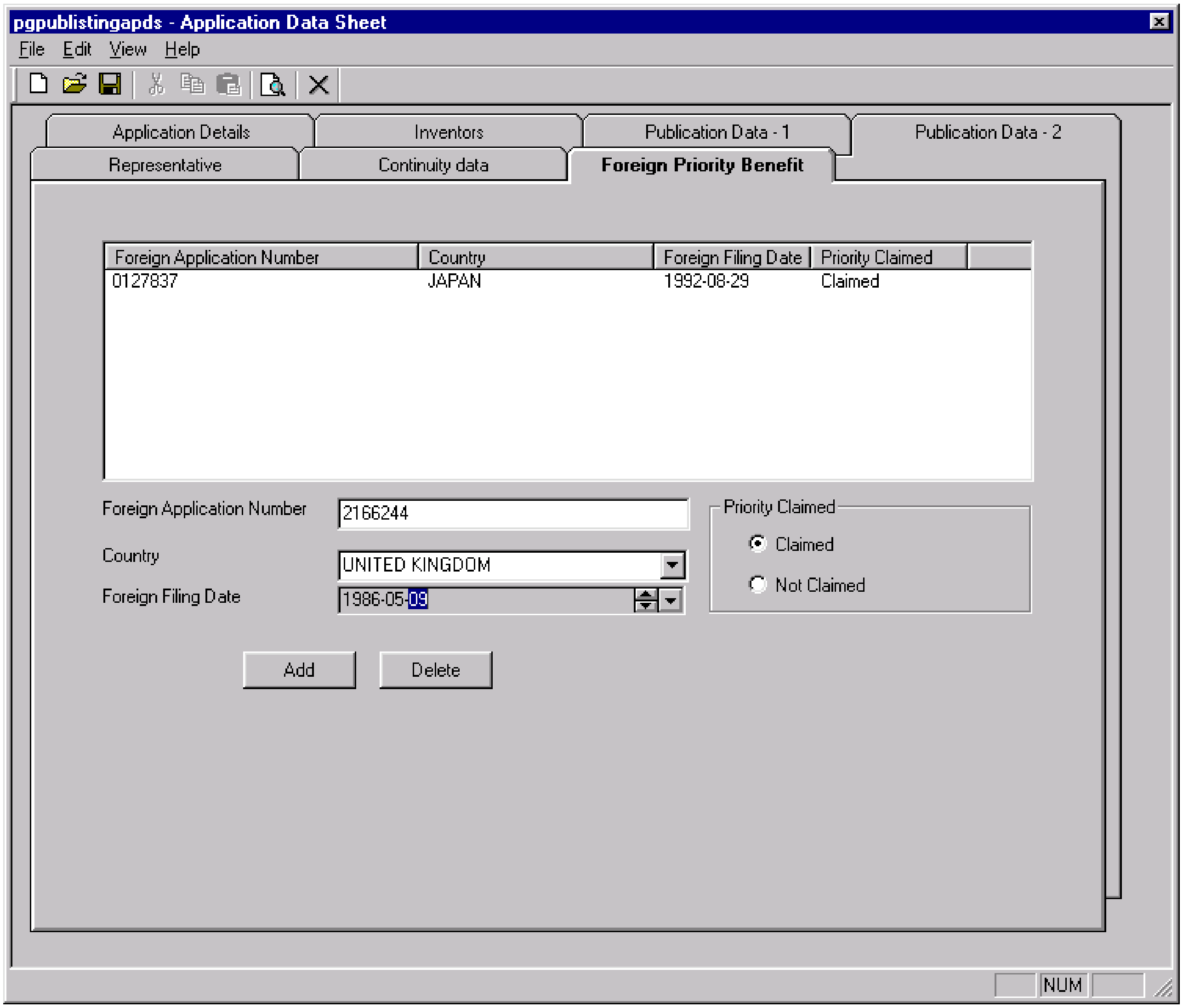


Figure 151: Application Data Form Tab - Foreign Priority Benefit Tab

1. Enter the application number of an associated foreign-filed application in the Application Number field.
2. Enter the country where the application was filed in the Filing Date field.
3. Enter the foreign filing date in the Filing date field.
4. Indicate whether or not foreign priority is claimed by selecting the appropriate radio button.
5. To add the application to the list of foreign priority application, click the **Add** button.

   To delete a reference to a foreign-filed application, highlight the application in the list and click the **Delete** key.
6. Return back to the Forms Tab Screen.

Plant Information Tab

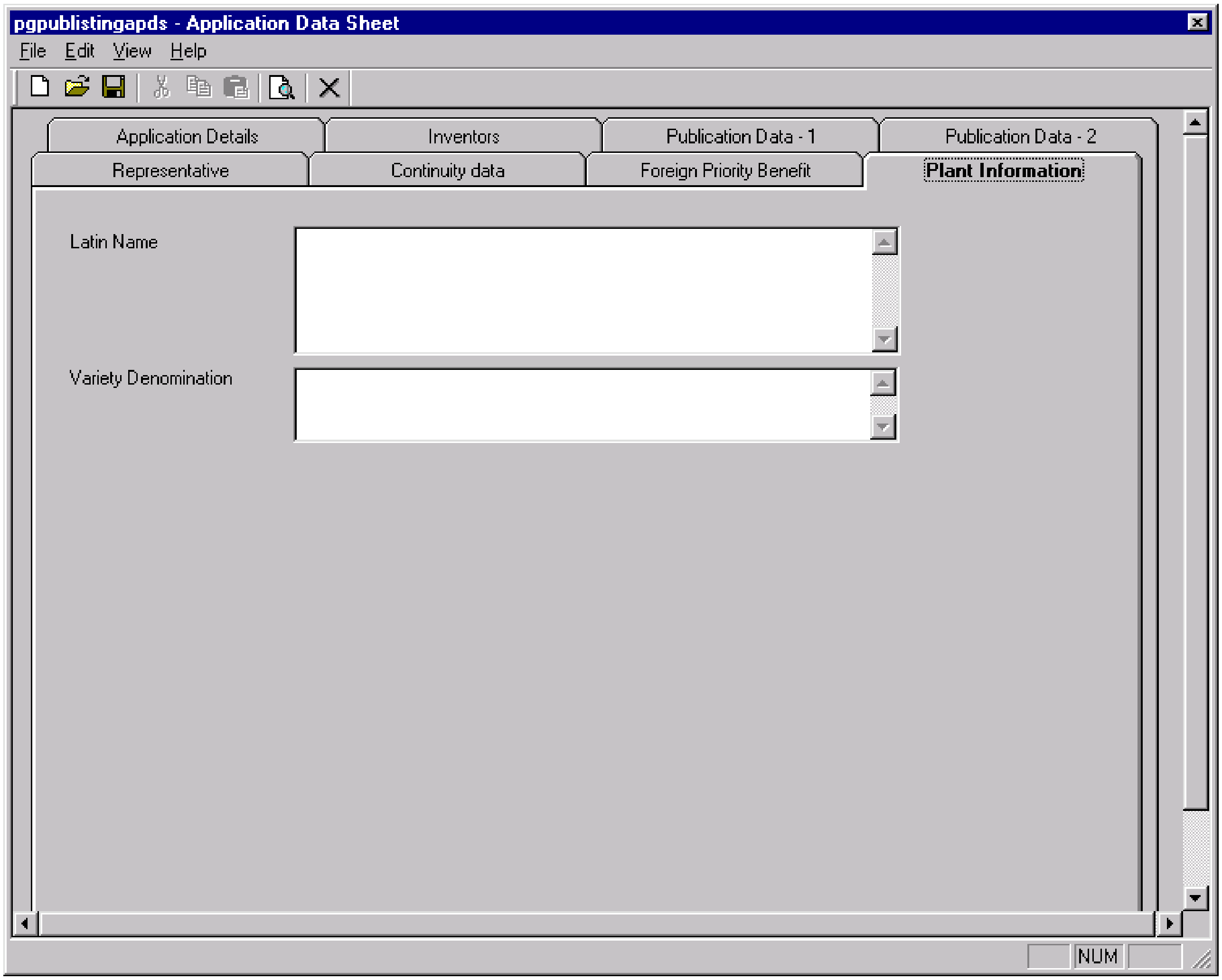


Figure 152: Plant Information Tab

If you selected plant as the type of pre-grant Patent application submission, you will see the Plant Information Tab displayed. The information captured on this screen tab is Latin Name of the plant described in the Patent application and the Variety Denomination. The plant information provided will be provided by USPTO after publication to the International Union for the Protection of New Varieties of Plants (UPOV). The UPOV produces a CD-ROM database which examiners use to search for these denominations to ensure that variety denomination was not previously used.

You may enter a description of the Variety denomination of 150 characters and the Latin Name description limited to 300 characters. An example of a Latin name for a plant would be Rosa hybrida.

Return back to the Forms Tab.

To create a fee transmittal XML form, highlight the Fee Transmittal from the Selected Forms field and click on the **Open** button. This will take you to the Fee Tabs.

Fee Transmittal Form Tab Screens

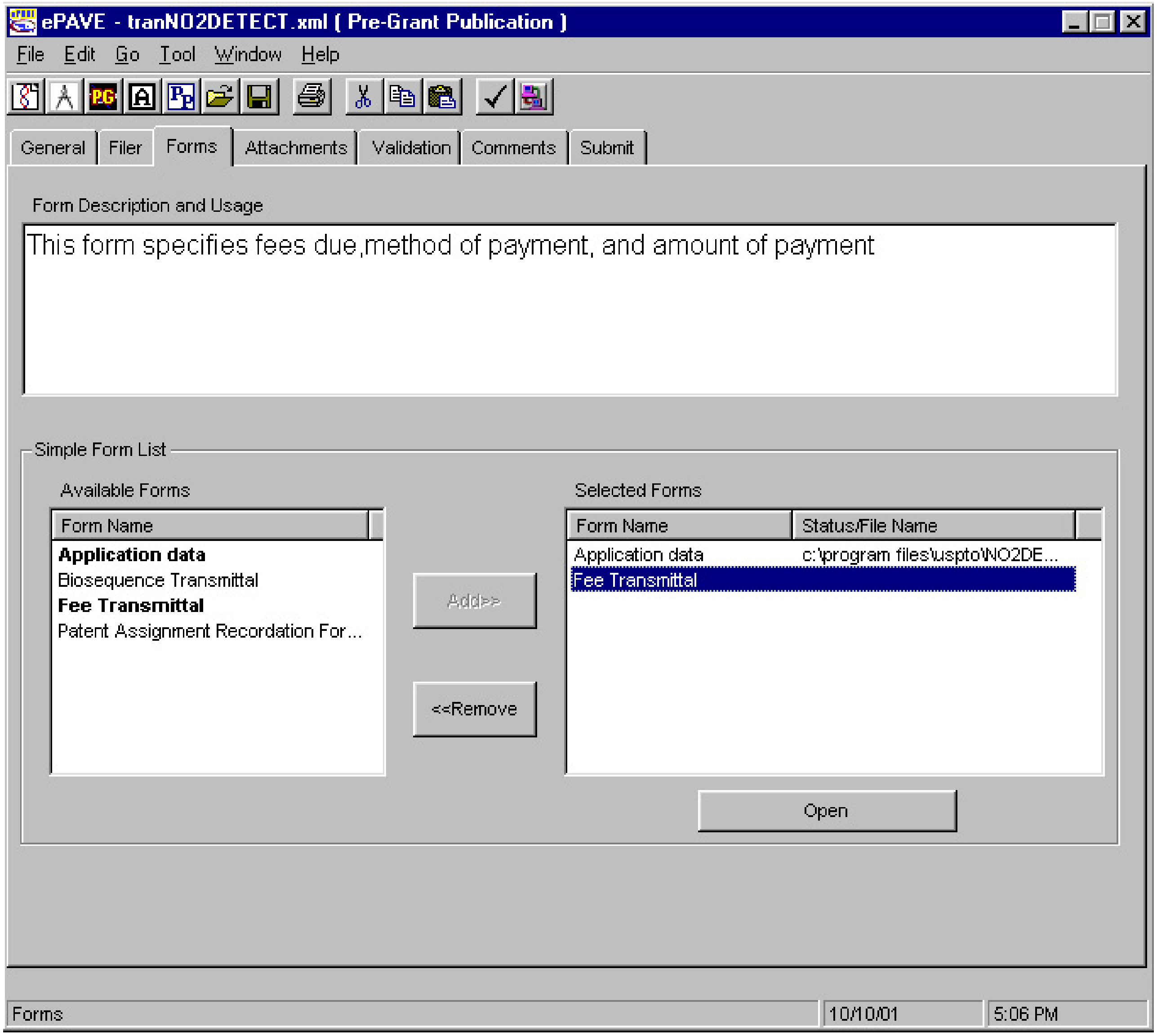


Figure 153: Forms Tab Reflecting the Choice of Including the Fee Transmittal Forms

Note: Original Pre-Grant publication submissions in amended or redacted form that are submitted via EFS do not require the payment of any fees. Thus, creation of a fee transmittal in submissions of these types is not necessary, and may cause validation errors.

Filer Status Tab

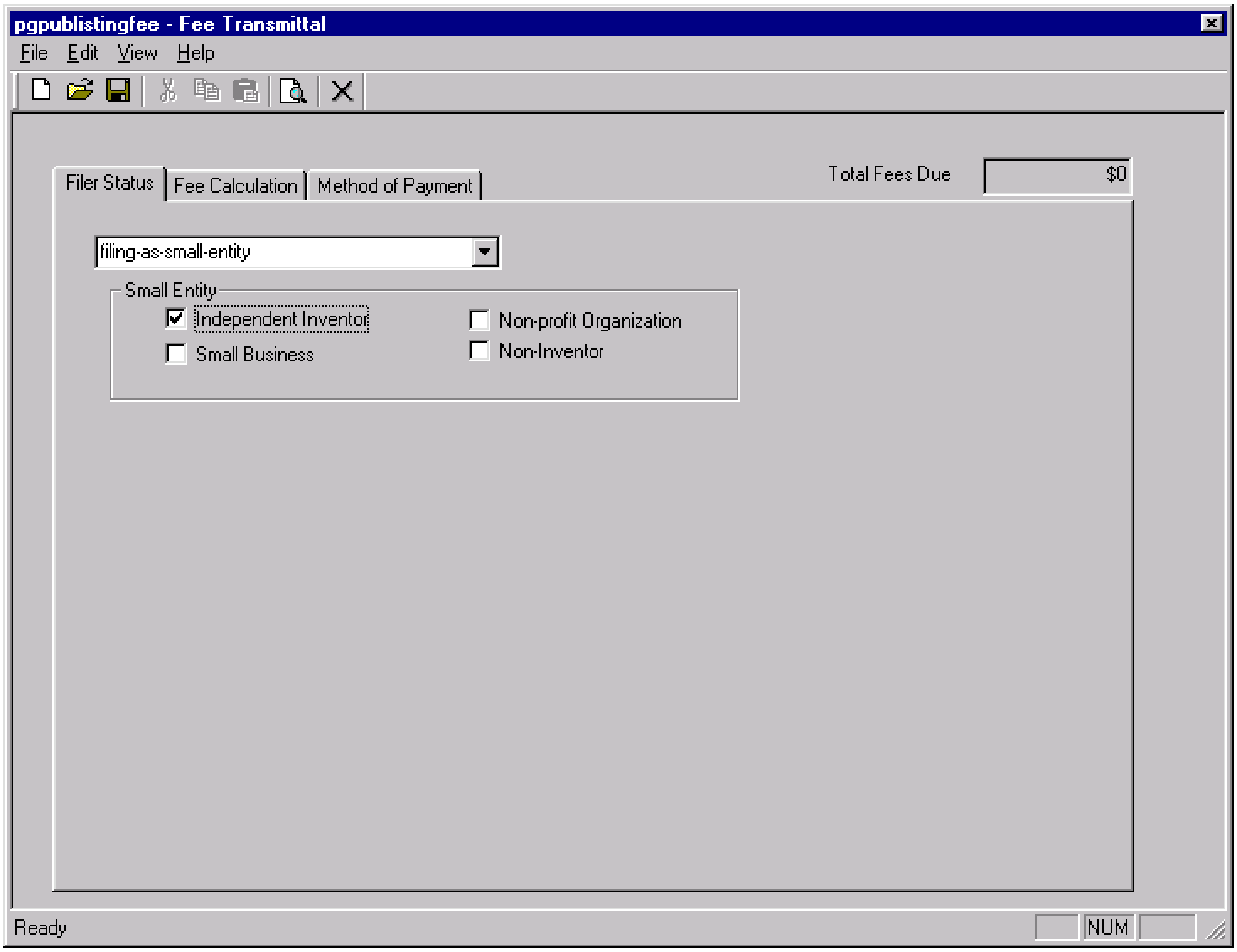


Figure 154: Fee Transmittal - Filer Status Tab

1. Select the Filer Status from the drop down list. The Filer Status is defined by the classification of the person or entity filing the Patent. This is important, as it determines which schedule to use for fee calculation for New Utility Patent application filings. A small entity is an independent inventor, a small business, a non-profit organization, and/or a non-inventor.
2. Select either filing-as-small-entity or filing-as-large-entity.
3. If filing-as-small-entity is selected, two more pieces of information are required. At the bottom Filer Status drop-down box are 4 checkboxes. Select any or all of the ones that apply to the filer.

Fee Calculation Tab

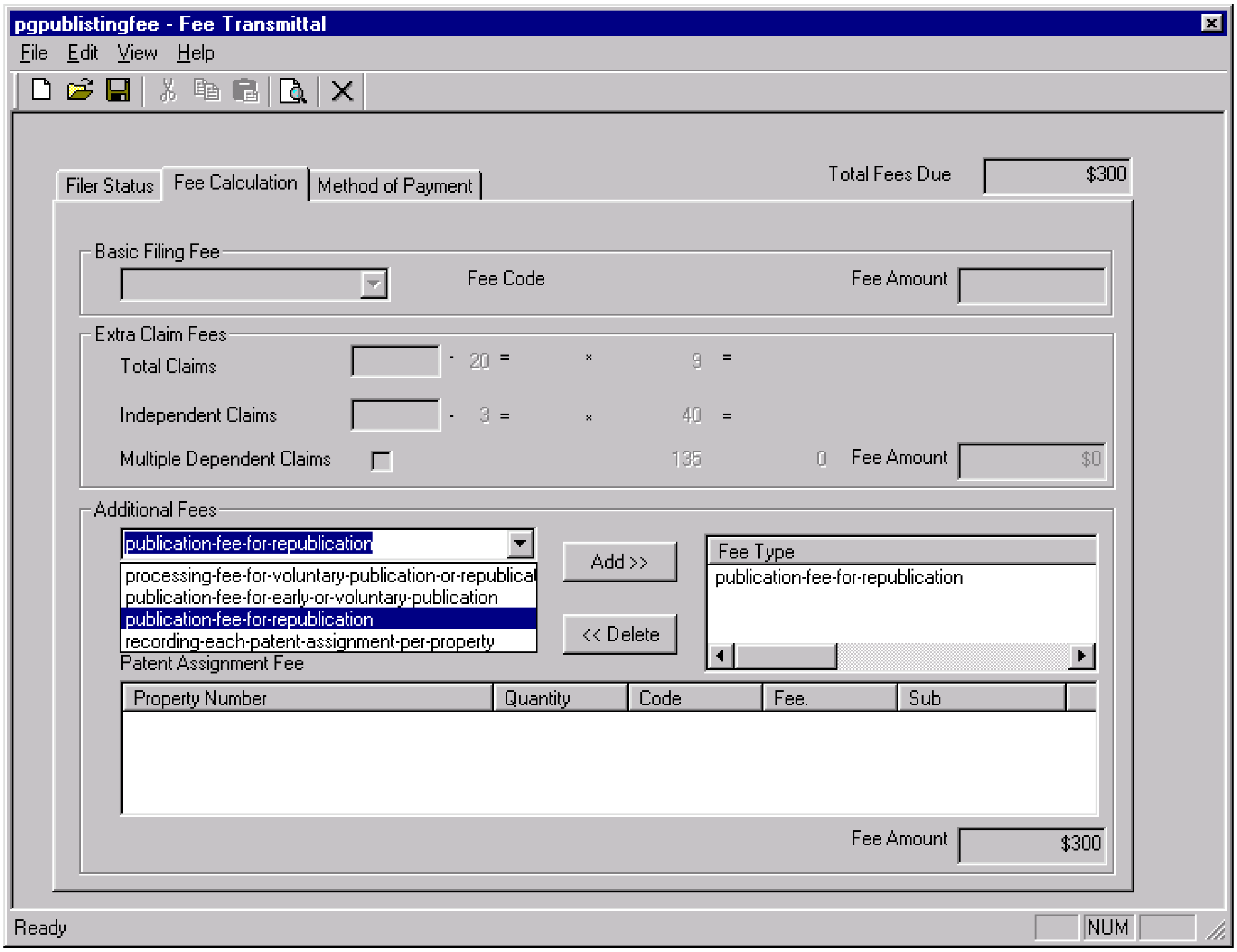


Figure 155: Fee Transmittal - Fee Calculation Tab

The Fee Calculation tab is where the fees associated with the submission are calculated.

If a new application is being filed, select new utility from the Basic Filing Fee drop down list. The top most Fee Amount field is the Basic Filing Fee, a non-editable field that's value is determined by the Fee Type selected on the previous tab.

Next are the Extra Claim Fees. Up to 20 Total Claims and 3 Independent Claims can be requested for no additional fee. However, each additional claim or Independent Claim is charged to the total fee due, based once again on the entity size of the filer. Finally, a Multiple Dependent Claims checkbox is provided. An additional fee is charged if this is selected. Do not insert any information in these fields for pre-grant publication submissions.

Below the Extra Filing Fee section is the Additional Fees section. Select any additional fees required such as the processing fee for voluntary publication or the publication fee for any pre-grant publication submission from the drop down list. Click on the **Add** button to indicate that selected fee is due. The Fee code, amount of the fee and a description will appear in those fields. Repeat for each additional fee that is required.

To delete a Fee type, highlight that Fee in the Fee Type field and click on **Delete**.

Method of Payment Tab

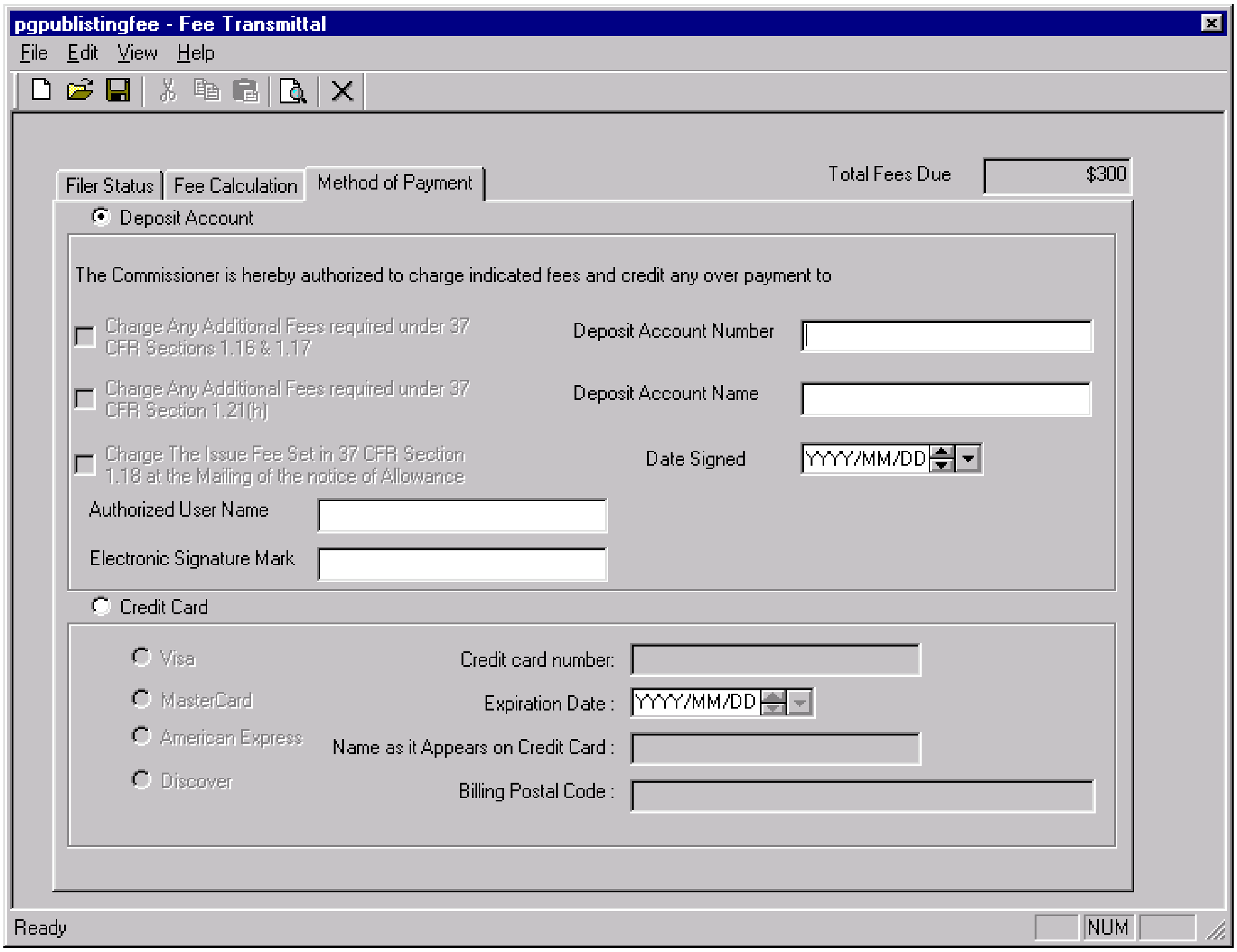


Figure 156: Fee transmittal - Method of Payment Tab

1. Select the payment method by clicking either **the Deposit Account** or **Credit Card** radio button. This provides the information the USPTO needs to collect the applicable fees for the Patent submission.
2. If you select Deposit Account as your payment type you may authorize USPTO to charge additional fees (as allowed by CFR sections cited next to each button) not calculated on this sheet at the time of submission by checking the checkboxes provided.
3. Enter Deposit Account Number & Name of the account that is to be charged by the USPTO. These fields are required for deposit account transactions.
4. Enter the name of the authorized use and the electronic signature of the authorized user in the fields provided for that data.
5. If you select Credit Card payment, indicate the card type by clicking on the radio button associated with it.
6. Enter the Credit card number, expiration date, the Name on the Credit Card and the Billing Address in the fields provided.

The Deposit Account or Credit Card will be charged the amount that appears in the Total Fees Due field in the upper right-hand corner of the screen.

The Fee XML file will be created when the Fee Tab screens are closed.

Once all the desired pre-grant publication forms have been prepared, please move on to the ePAVE Attachments Tab.

Attachments Tab

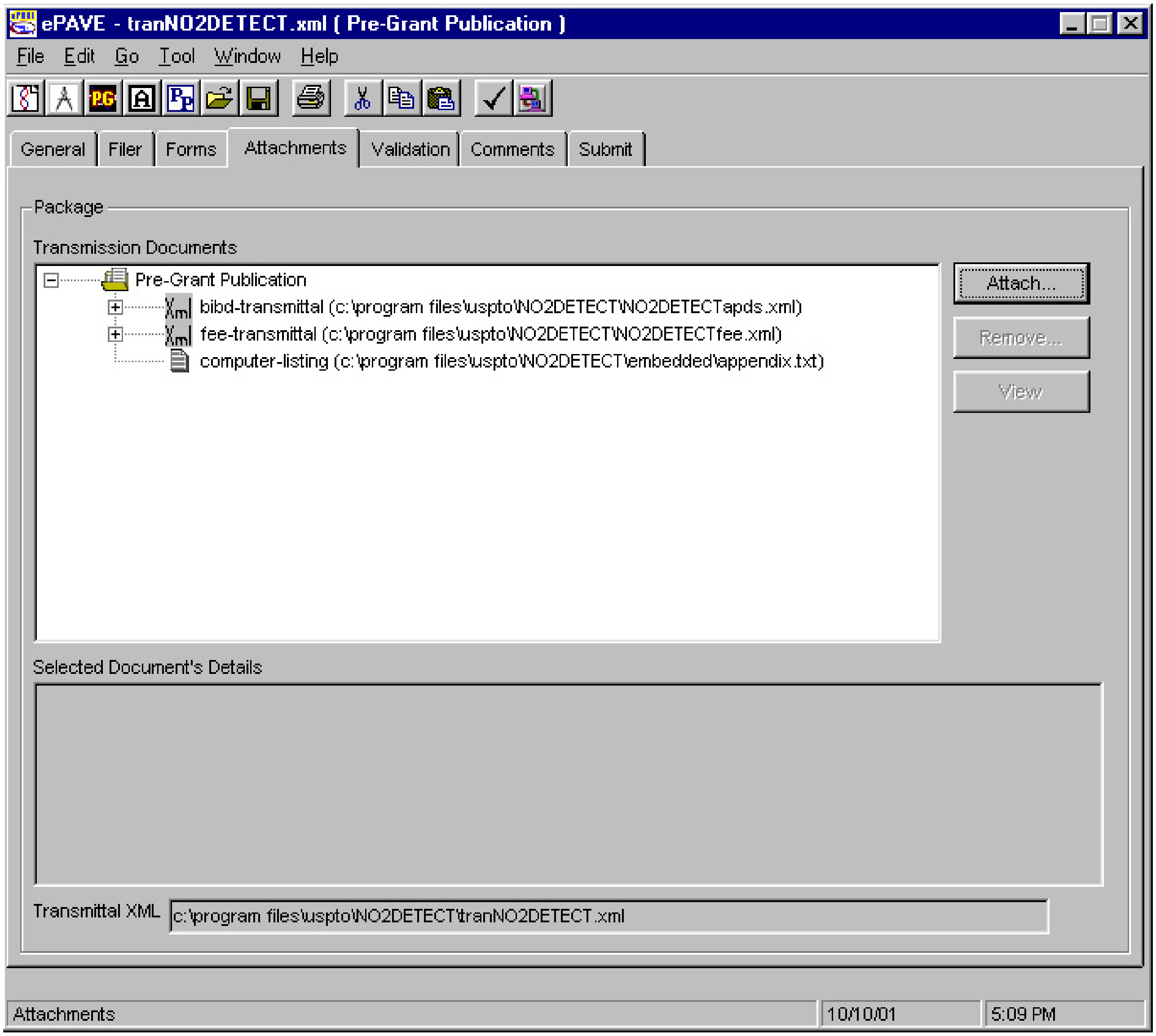


Figure 157: Attachment Tab

The Attachments tab allows you to attach your authored XML specification document with or without figures, and your tiff image file(s) containing the declaration for the new utility patent application to your submission.

When you attach the XML specification document a message will display prompting you to attach a declaration tiff image file(s).

After viewing an XML document you may close the viewing screen by clicking X in the upper right corner of the displayed screen or click the File on the menu bar and select exit.

To view the Submission Transmittal Form, click on **File** from the menu bar and select Print Preview. The Submission Transmittal Form is the cover letter for your electronic submission.

Figures or graphics associated with the specification XML document also are scanned as single tiff image files. Please refer to EFS Authoring User Manuals for a discussion of figures associated with the specification XML document.

You may also attach a text file produced using a sequence listing editor or you may attach a sequence listing file you authored using USPTO's sequence listing editor PatentIn, if you are submitting a new utility biotechnology Patent application.

The Transmission Documents box on the Attachment tab screen contains information identifying all the documents included in this submission. You will view a list of the electronic files you have attached to the submission package. At the bottom of the Attachment tab screen there is a box that displays details about the selected attached electronic document.

The Selected Document's Details shows the File Name, file size, File Date/Time and Document Type.

Attaching a File

1. Click one time on the **Attach** button with your computer mouse. A dialogue box will open to allow you to view the computer directories where you have stored the file to be attached.
2. Locate and highlight the drive and folder where you have stored the authored sequence listing. Attach the text file containing the sequence listing by double clicking on the file name, or by selecting the file and clicking **Open**.

The Embedded Folder

To facilitate the easy organization and transmission of patent applications, ePAVE now keeps items attached in the Attachments tab in an automatically created folder labeled embedded in the specified project folder that is created at the time of the first attachment.

During the creation of a project in ePAVE, the user will need to attach the specification document that was created in the authoring tool and depending on the situation, may need to attach other .tif images (such as a small entity claim).

When any attachment is made in the Attachments tab of ePAVE, a folder labeled embedded is created in the open project folder and the attachment is copied into that folder. For a specification this means that any .tif images, the specification's .dtd and .xsl files along with the selected .xml document itself are automatically copied into the embedded folder. For other stand alone attachments, such as a small entity claim, only the image itself is copied into the embedded folder.

The embedded folder does not separate the specification files from other attached files (such as a small entity claim).

Note: Attachments that are made as part of a form (such as an attachment in the Statement and Signature tab of the Patent Assignment Recordation form) are NOT stored in the embedded folder. ePAVE maintains the link to the attachment and sends it along with the rest of the files at the time of transmission.

The following illustrates what ePAVE does when files are attached in the Attachments tab.

- The image below is what the project folder looks like when it is initially created:

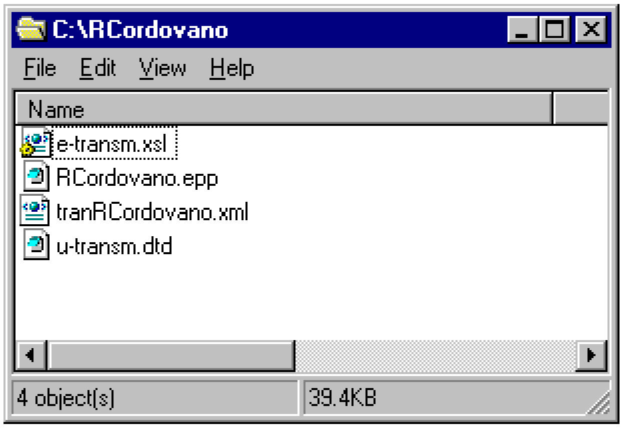


Figure 158: Project folder when first created

- Then a specification is added in the Attachments tab:

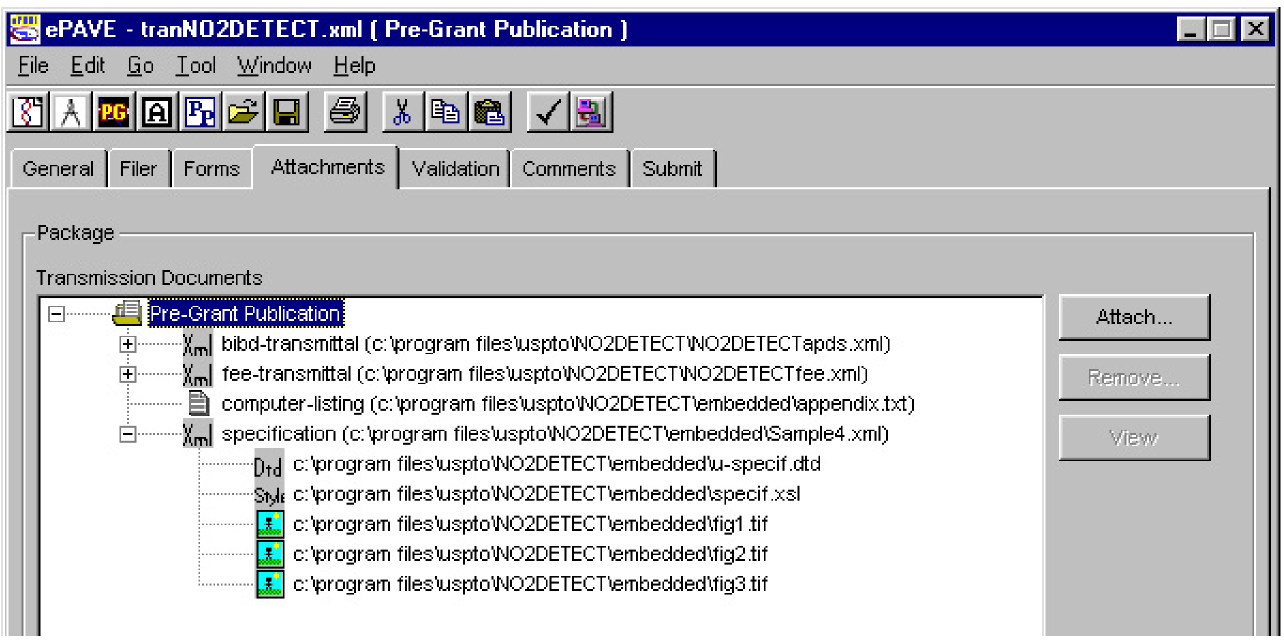


Figure 159: Attachments tab with specification and linked figure images

- After the specification is added, a folder labeled embedded is created in the project folder:

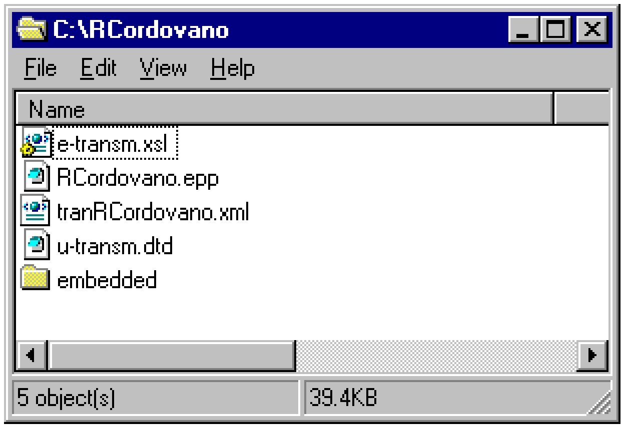


Figure 160: Project folder with embedded folder

- Within the embedded folder, the necessary files of the specification, including linked images are copied:

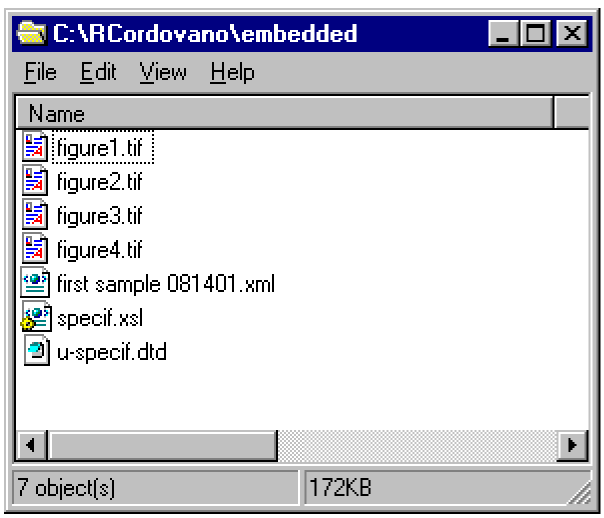


Figure 161: Specification and linked images in the embedded folder

Remove a File

In addition to allowing you to attach files for bundling into the submission package, ePAVE also will allow you to remove files prior to submission.

1. Highlight the file you wish to remove. The entire file should appear in highlighted blue text box.
2. Click the **Remove** button to remove the attachment.
3. To re-attach a removed document you must either go back to the Forms tab and re-select the form you removed or click on the **Attach** button to locate the file you wish to re-attach.

Viewing and Printing Your Submission

Figure 162: ***The*** *View* ***button located under the*** *Remove* ***button on the Attachments tab screen is used to view the XML documents using EFS USPTO standard style sheets and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.***

Validation Tab

The **Validation** tab provides an automatic validation of your submission to identify any errors before you send your submission to the USPTO. You can manually validate the submission at any time by clicking on the **Validate** button or by clicking the check mark icon on the ePAVE tool bar.

You can print a list of current errors at any time during the authoring stage of the submission process.

ePAVE's validation messages are produced by a computer validation program that reads the XML-tagged data that you are submitting. The error messages that ePAVE provides identify specific errors in your submission.

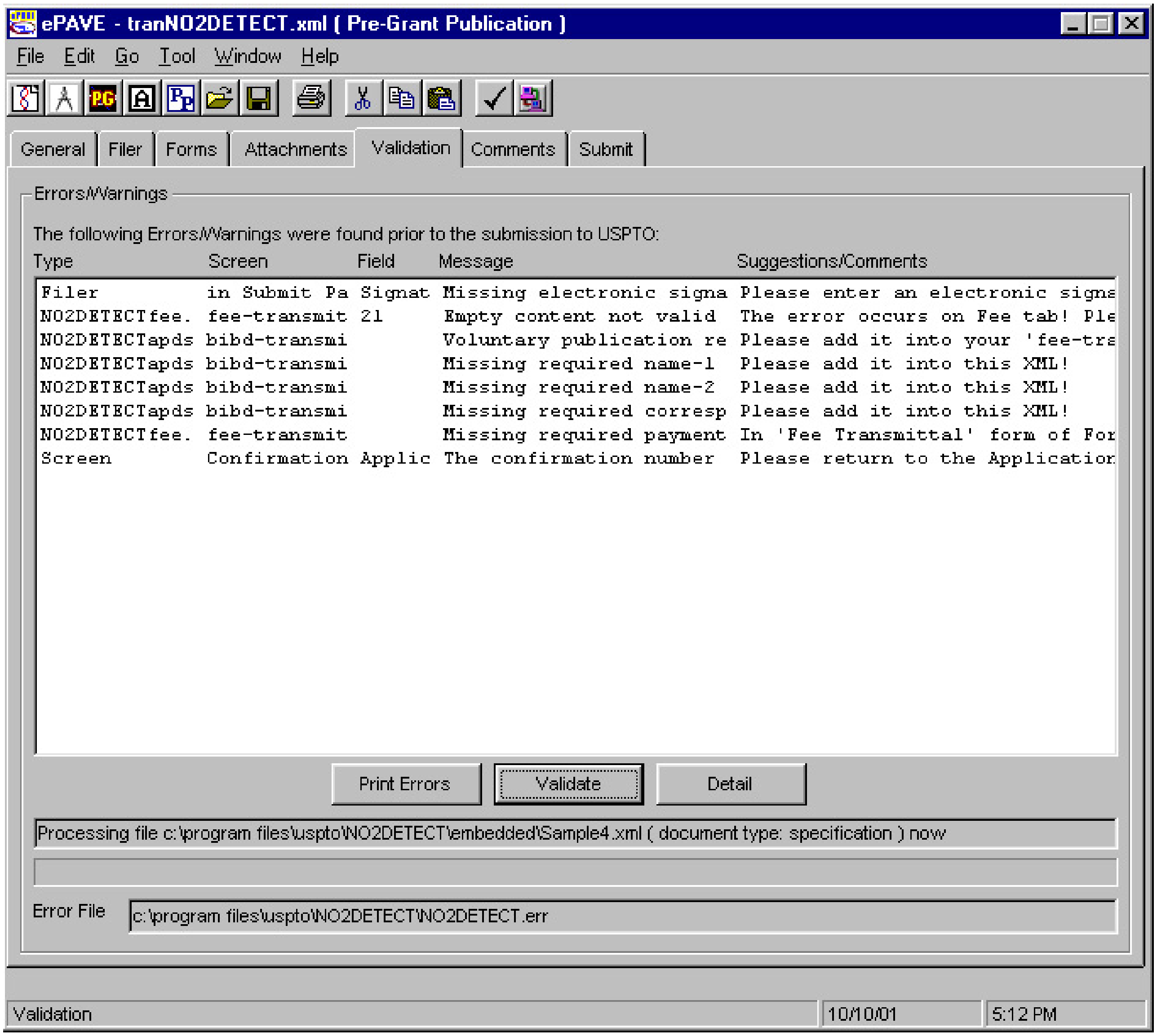


Figure 163: Validation Tab

Fields and Buttons on the Validation Tab

The following table explains the fields and buttons on the **Validation** tab:

Field or Button	Action or Function	Required or Optional
Type	This column shows the type of error.	
Screen	This column shows the screen where there error occurs.	
Field	This column identifies the specific field where the error occurs.	
Message	This column shows the error message related to this error.	
Suggestions/Comments	This column provides instructions for correcting the error.	

Field or Button	Action or Function	Required or Optional
Print Errors	Click this button to print the list of errors to your default printer.	
Validate	Click this button to validate your submission. EPAVE returns a list of errors in the field above.	
Detail	Click this button to view the details of the selected error. You can also double-click the error to view its details. The Error Message Detail window provides additional instructions on how to correct the error..	
Errors File	This field shows the location where the errors file is stored.	

Validating your Submission

Use the following procedure to validate your submission:

1. Verify that your computer is connected to the Internet. You must be connected to the Internet before you can validate your submission.

2. Click the **Validate** button.
   ePAVE validates your submission and lists any errors that it identifies during this process in the **Errors/Warnings** field.

3. Double-click on an error that is listed in the field, or select an error and click the **Detail** button.
   The **Error Message Detail** window appears, providing additional information about the error and instructions for correcting the error.

4. Correct the error as suggested in the **Error Message Detail** window.

5. Repeat **Step 3** for each error.

6. Click the **Close** button or the **X** at the top of the page when you are finished.
   The **Error Message Detail** window closes, and you return to the **Validate** tab.

7. Click the **Validate** button to revalidate your corrected submission.

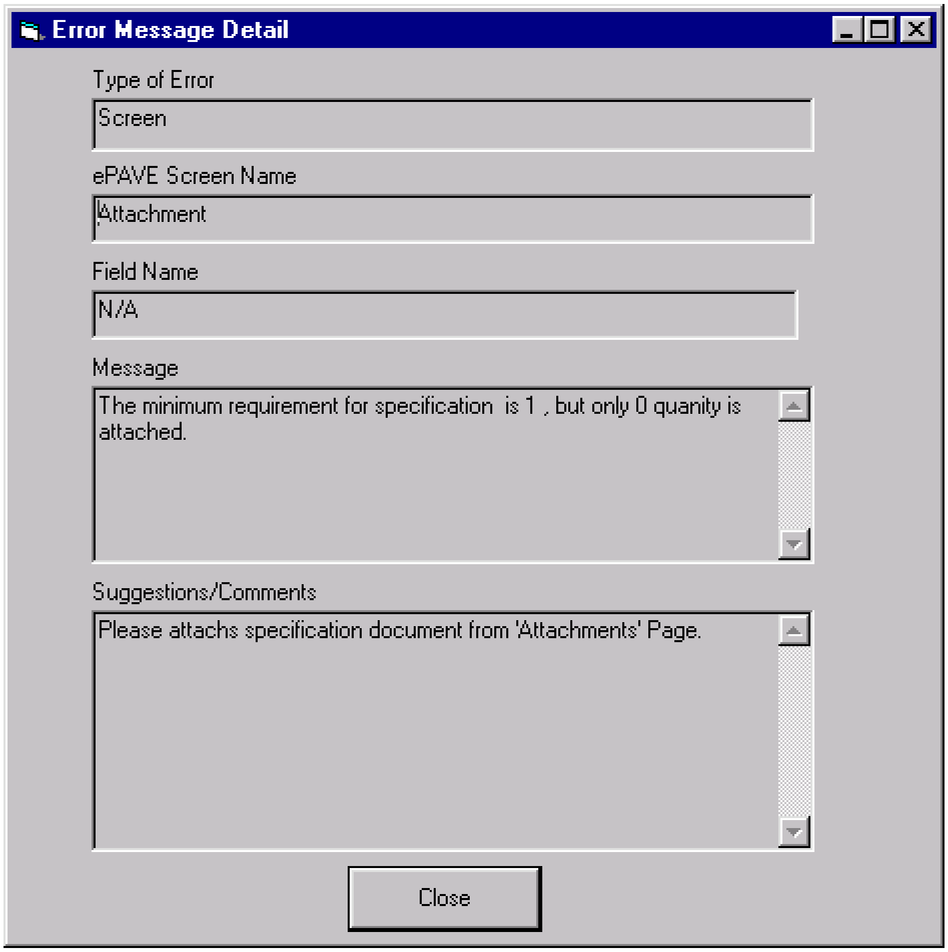
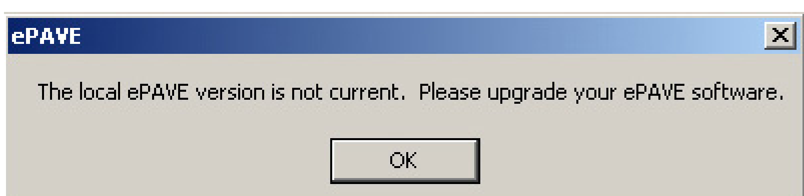


Figure 164: Error Message Detail

Common Validation Errors

If you attempt to use a version of ePAVE that is not the most current version available, you will receive an error message during validation that is similar to the following messages:



Or

This XML files DTD does not match any server's. Please check if you need to update your DTD

If you receive one of these error messages during validation, go to the EFS website that is accessible from www.uspto.gov and download the latest ePAVE software. You can check your version by going to the **Help** menu in the ePAVE interface and selecting **About ePAVE**.

Printing Identified Errors

Use the following procedure to print a list of the errors that ePAVE identified during validation:

1. Click the **Print Errors** button.
   The list of errors that ePAVE identified during validation are printed on your default printer.

Comments Tab

The **Comments** tab contains a text box where you can author any additional comments that you want to include on your XML transmittal. For example, if you are filing a pre-grant publication to correct errors in a previous publication, you should indicate what changes you are submitting for republication. For a subsequent filing, such as the CRF biotechnology sequence listing submission or the new utility patent application submission, you should include any detailed information about the Patent application that you are filing that is not already contained in the documents and forms attached to your submission.

The following examples show are notations for citing corrections made to a publication submission. You must identify the INID code, drawing page, paragraph number, or claim number. You can also include the title of the application, although it is also captured on the transmittal form.

Example 1: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example 2: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Another instance where you would use the **Comments** tab is when you are filing a pre-grant publication redacted application via EFS to indicate that you have met the concurrent paper requirements of the new rule 1.217(c).

The following figure shows the **Comments** tab:

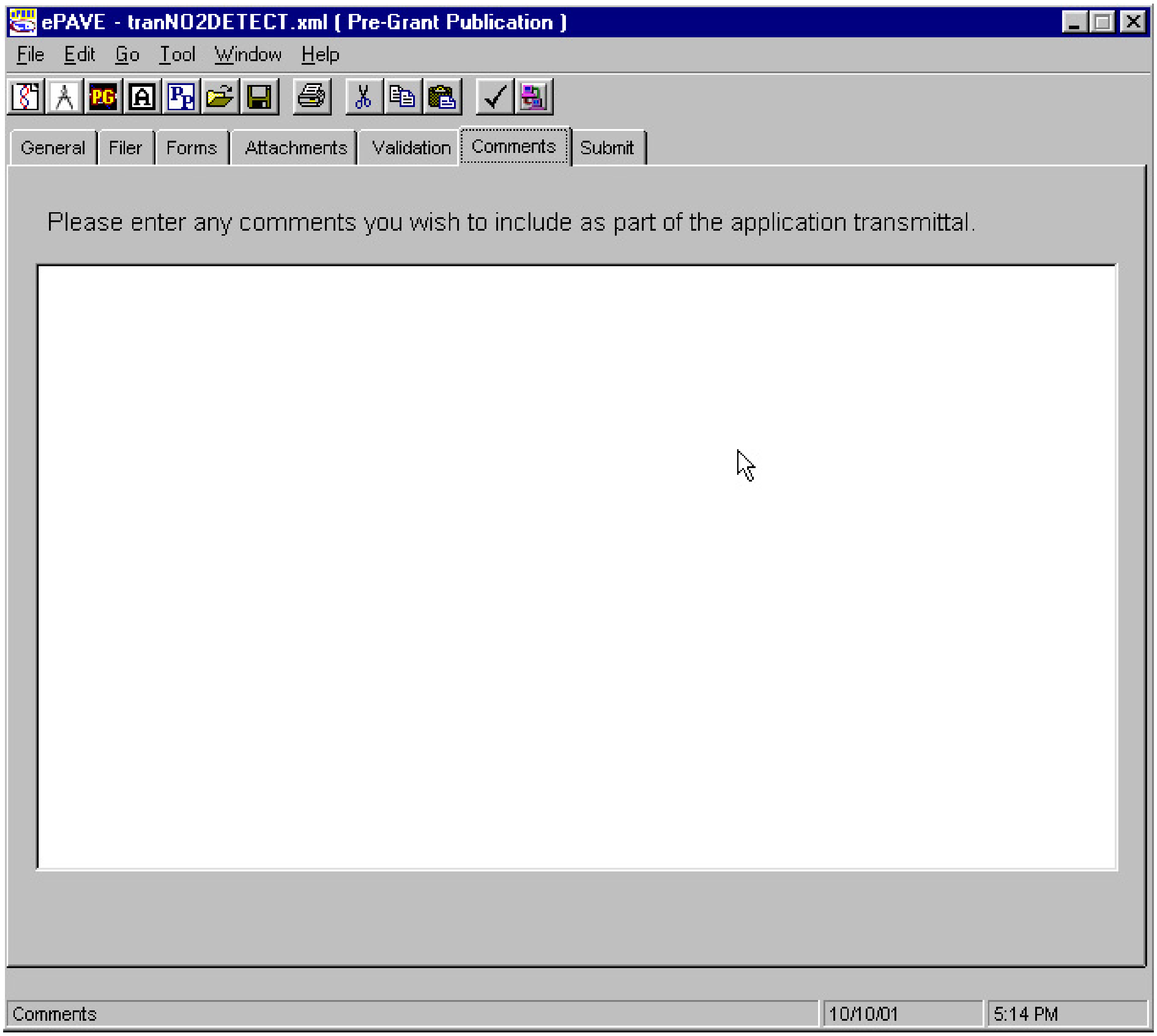


Figure 165: Comments Tab

Fields and Buttons on the Comments Tab

The following table explains the fields and buttons on the **Comments** tab:

Table 32: Fields and Buttons on the Comments Tab

Field or Button	Action or Function	Required or Optional
Comments	Enter any additional comments or information about your submission. For a provisional application, indicate any U.S. government agency that has a property interest in the application.	Optional

Submit Tab

The **Submit** tab is where you will sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

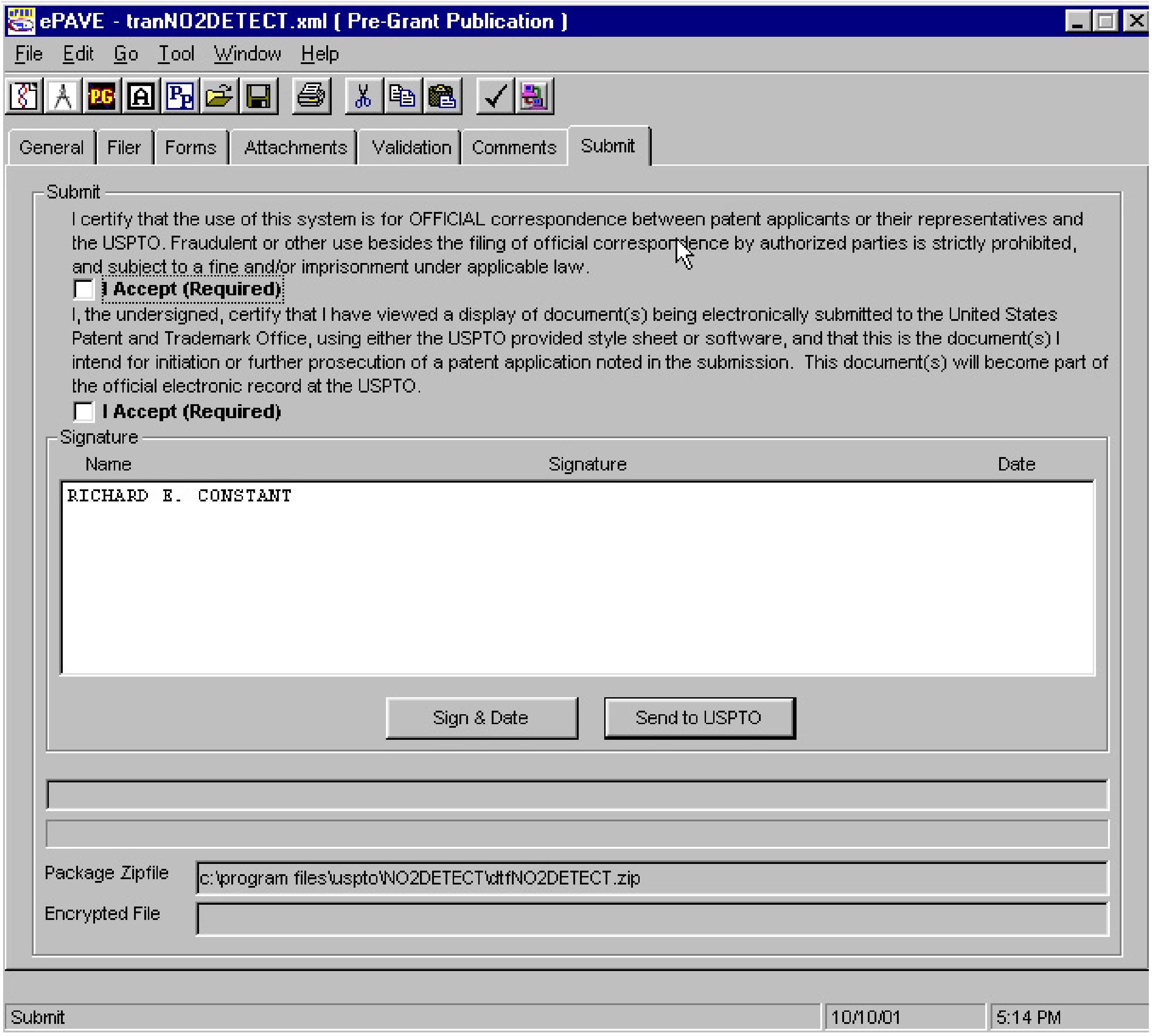


Figure 166: Submit Tab

Fields and Buttons on the Submit Tab

The following table explains the fields and buttons on the **Submit** tab:

Field or Button	Action or Function	Required or Optional
I Accept	You must read each of these two statements and click each of the two corresponding boxes to indicate your acceptance, placing a check mark in each box. To remove a check mark	Required

Field or Button	Action or Function	Required or Optional
	from a box, click the box again.	
Name	This column lists the filers associated with the submission.	
Signature	This column shows the electronic signature of each filer once the filer has signed the submission.	
Date	This column lists the date that each filer signed the submission.	
Sign and Date	Click this button after you select your name from the filers list to sign and date the submission.	
Send to USPTO	Click this button to submit your filing to the USPTO.	
Package Zipfile	This field shows the location of your zipped submission package.	
Encrypted File	This field shows the location of the encrypted submission package.	

Signing Your Submission

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

Use the following procedure to sign the document:

1. Click the **Submit** tab to go to the **Submit** page.

2. Read the first legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

3. Read the second legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

4. Select your filer name in the **Signature** field.

5. Click the **Sign & Date** button.
   The **Signature** dialog box for the filer that you selected opens.

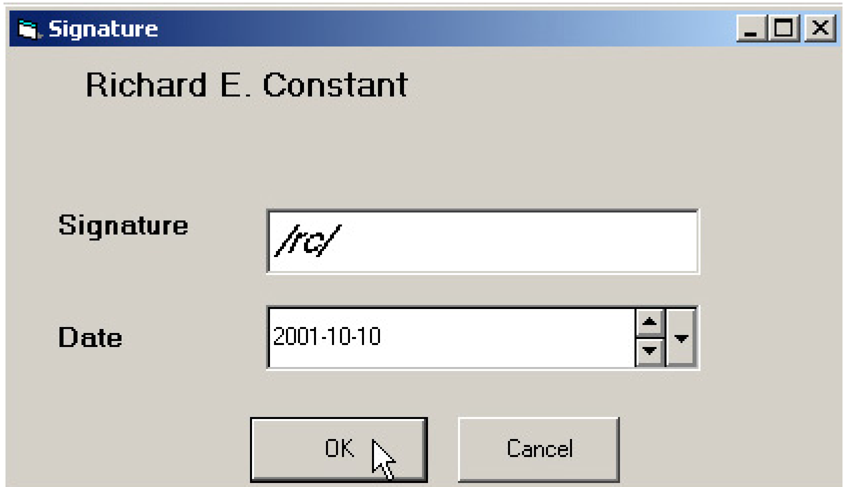


Figure 167: Signature Box with Electronic Signature

6. Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the **Signature** field.

7. Enter the signing date in the **Date** field. You can change the date using the up and down arrows.

8. Click **OK** to accept this signature or click **Cancel** to return to the previous screen.

9. Repeat **Step 4** through **Step 8** for each filer

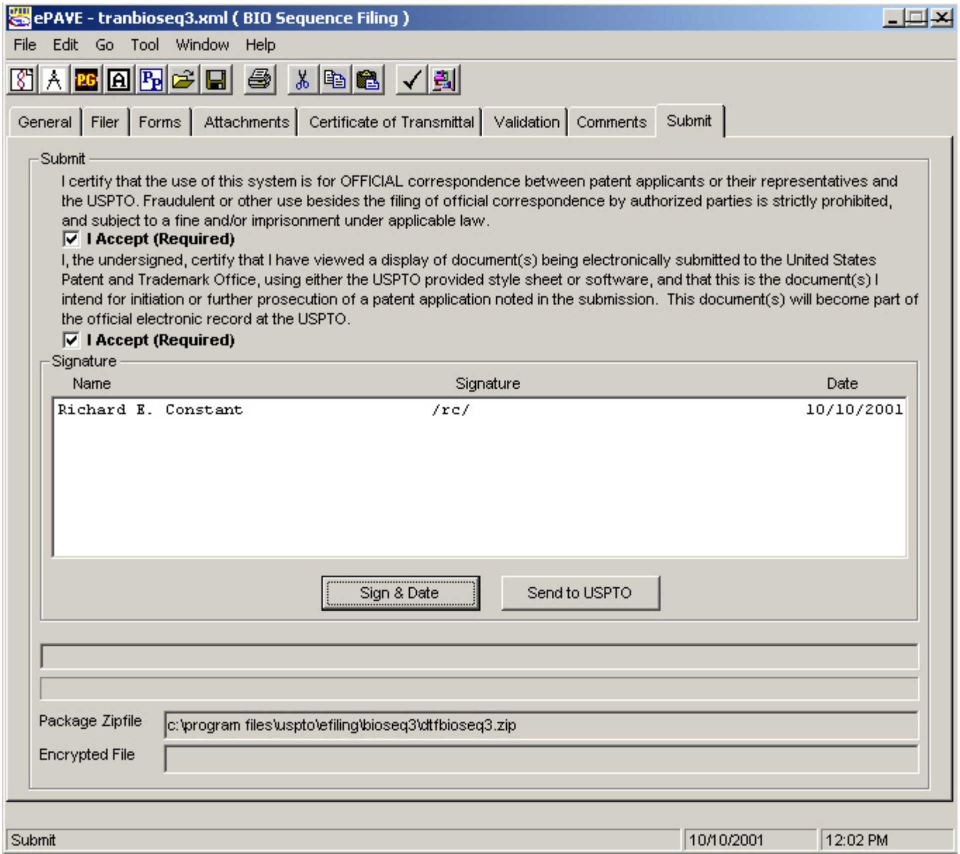


Figure 168: Submit Tab Reflecting an E-signature

Sending Your Filing to the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet.

Use the following procedure to start the submission process:

1. If you are using a dial-up modem, make sure that your Internet connection is still active.

2. Click on the **Send to USPTO** button on the **Submit** tab.

3. If you do not receive any error messages, go to *Digital Certificate Login on page 123*.
   If you receive an **Invalid Submission Warning** message, go to *Validation Override on page 122*.
   If you receive an error message stating that the submission exceeds 10MB, go to *Filing Large Submissions on CD on page 32*.

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the Entrust profile and password that you designated when you created your digital certificate using the USPTO Direct security software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

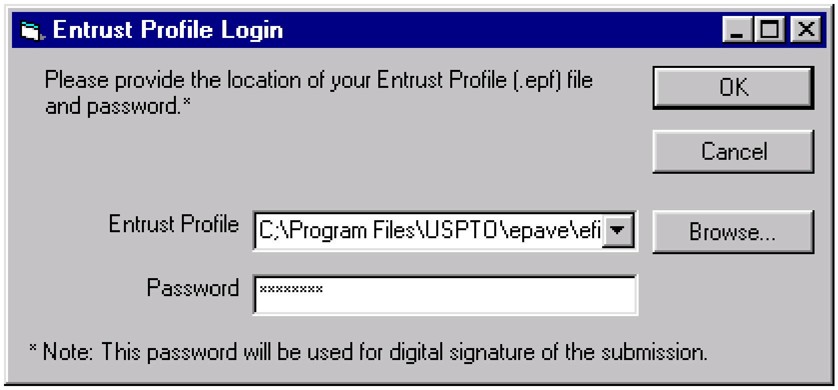


Figure 169: Entrust Profile Login

Use the following procedure to authenticate the digital certificate and send your package:

1. Click the **Browse** button to locate your profile in your directories.

2. Select the profile.
   You return to the Entrust Profile Login dialog box.

3. Enter the password for that profile in the **Password** field.

4. Click **OK**.

Acknowledgement Receipt

After the package has been transmitted to the USPTO, the USPTO server dates and timestamps the package, and uses digital signature technology to verify that the contents of the package have not been altered in transit. The USPTO server also returns information to ePAVE that ePAVE then uses to create your Acknowledgement Receipt—including a unique EFS Transaction ID and the date and time received at USPTO.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site, www.USPTO.gov/ebc, for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for new utility patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility patent application.

If a biosequence listing filed using EFS is unusable, the applicant will be promptly notified by phone, fax, or e-mail depending on the correspondence and application information provided by the applicant to USPTO. If

subsequent filings are unreadable or unusable, the applicant or practitioner is sent a notification as is current practice.

NOTE: For subsequent filings, the application serial number that appears on the receipt is the same application number that you entered on the General tab.

The following figure shows an example of an **Acknowledgement Receipt**:

Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:

transmittal	tranNO2DETECTING.xml 5280 Bytes
declaration	declarationpage1.tif 52308 Bytes
fee-transmittal	NO2DETECTINGfee.xml 1676 Bytes
fee-transmittal	u-feetra.dtd 37433 Bytes
fee-transmittal	e-feetra.xsl 14863 Bytes
specification	Sample4.xml 23427 Bytes
specification	u-specif.dtd 106427 Bytes
specification	specif.xsl 33130 Bytes
specification	fig1.tif 26680 Bytes
specification	fig2.tif 17744 Bytes
specification	fig3.tif 13792 Bytes
bibd-transmittal	NO2DETECTINGapds.xml 2777 Bytes
bibd-transmittal	u-bibdat.dtd 35690 Bytes
bibd-transmittal	e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKKk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO

Figure 170: Acknowledgement Filing Receipt

Fields on the Acknowledgement Filing Receipt Tab

The following table explains the fields on the **Acknowledgement Filing Receipt** tab:

Table 33: Fields on the Acknowledgement Filing Receipt Tab

Field	Action or Function
Serial Number:	This field shows the application (serial) number that you either entered on the **General** tab for biotechnology sequence listings and pre-grant publication submissions, or that was returned to ePAVE from the EFS server after successful submission of a new utility Patent application filing.
First Named Inventor:	This field shows the name of the first named inventor that you entered on the **General** tab.
Title of Invention:	This field shows the title of the invention that you entered on the **General** tab. You cannot enter a mathematical formula or chemical formula as part of the title of invention.
File Listing:	This field shows an itemized listing of all files that were included in the submission package sent to the USPTO, including the file size.

Field	Action or Function
EFS ID:	This field shows the unique ID number that the USPTO server assigned to your submission.
File Size:	This field shows the size of the encrypted and zipped submission package file that the USPTO received.
Timestamp:	This field shows the date and time the USPTO officially received the package, as indicated on the EFS server timestamp.
Upload Status:	This field shows the status of your upload. A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity is not verified as intact, an error message is shown in this field.
Response File (.rsp)	This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

CREATING A SUBSEQUENT PATENT ASSIGNMENT SUBMISSION

Use the following procedure to begin creating a Patent Assignment submission:

1. Launch ePAVE by clicking on the ePAVE icon on your desktop, or by double-clicking ePAVE.exe.
   ePAVE launches and the ePAVE window appears on your computer.

2. Go to the **File** menu and select **New**.
   A submenu listing the types of submissions that you can create appears.

3. Choose **Patent Assignment** from the submenu.
   The **New Submission** window appears.

4. Enter the name that you want to use to identify the submission folder for your new submission in the **Submission Folder** field. You can also specify the location of this folder by browsing in the directory on the left side of the window.

   The ePAVE software will automatically save files for this submission in this folder. This folder may include the XML (eXtensible Markup Language) transmittal document, a fee XML document, a XML assignment document, an application data XML document, an error log containing any validation errors, the Acknowledgment Receipt received from the USPTO, and both an encrypted and zip file containing the package of the entire submission you will send to the USPTO.

NOTE: You can not begin creating a new submission unless you have created a new folder for that submission and related documents.

5. Click **OK**.
   ePAVE creates a new submission folder where all forms and attachments related to this submission are stored, and opens the tab screens that you will use to complete your Patent Assignment submission.

6. Complete the required fields on each of the tab screens that are shown in the ePAVE window—**General**, **Filer**, **Forms**, **Attachments**, **Validation**, **Comments**, and **Submit**.
   For details about each of these screens, see the following sections.

General Screen

The **General** screen is the first screen that you complete when you are preparing a Patent Assignment submission.

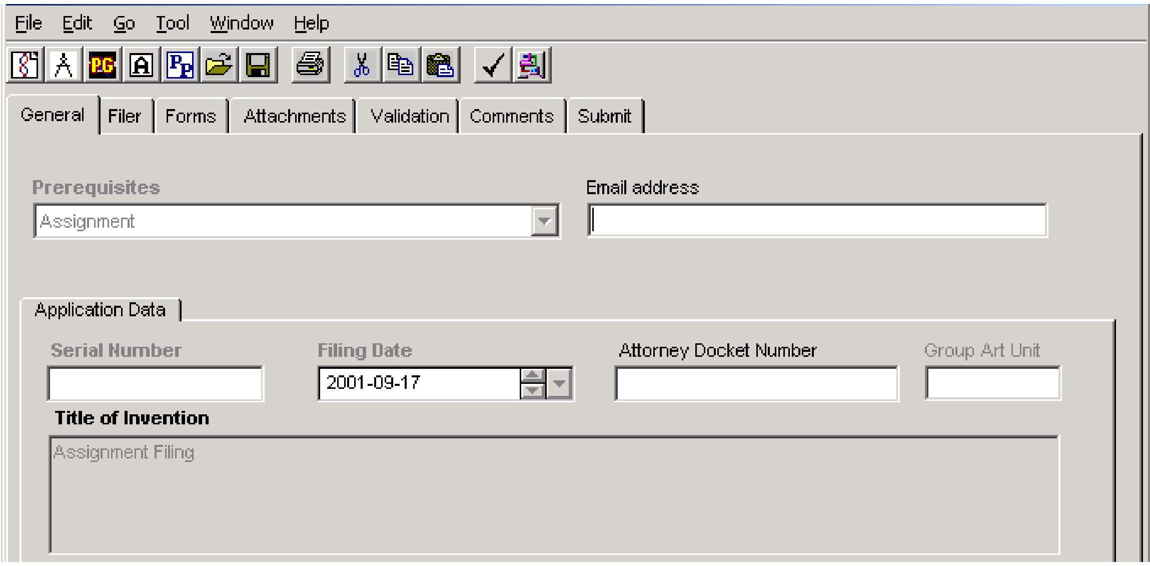


Figure 171: General Tab

The cursor on the **General** tab appears first in the **Email Address** field, since the **Prerequisites** field does not apply to the subsequent Patent Assignment submission. The **Email Address** field is the starting point for entering application information on this tab. Use the following procedure to complete the **General** tab.

Fields and Buttons on the General Tab

The following table describes the fields on the **General** tab:

Table 34: Fields and Buttons on the General Tab

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail)address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	Optional
Serial Number	This field does not apply to the Patent Assignment submission.	N/A
Filing Date	This field does not apply to the Patent Assignment submission.	N/A
Attorney Docket Number	Enter the reference number that you want to use to identify your application. This number is not assigned by the USPTO, and can be any number of your choice.	Optional
Group Art Unit	This field does not apply to the Patent Assignment submission.	N/A
Title of Invention	This field does not apply to the Patent Assignment submission.	N/A
First Named Inventor	This field does not apply to the Patent Assignment submission.	N/A

Field	Action	Required or Optional
Title	This field does not apply to the Patent Assignment submission.	N/A
First Name	This field does not apply to the Patent Assignment submission.	N/A
Middle Name	This field does not apply to the Patent Assignment submission.	N/A
Last Name	This field does not apply to the Patent Assignment submission.	N/A
Suffix	This field does not apply to the Patent Assignment submission.	N/A
Assigned Examiner	This field does not apply to the Patent Assignment submission.	N/A
Title	This field does not apply to the Patent Assignment submission.	N/A
First Name	This field does not apply to the Patent Assignment submission.	N/A
Last Name:	This field does not apply to the Patent Assignment submission.	N/A

Filer Tab

The following figure shows the **Filer** tab, which is the tab where ePAVE requests information about the person or entity that signs the transmittal.

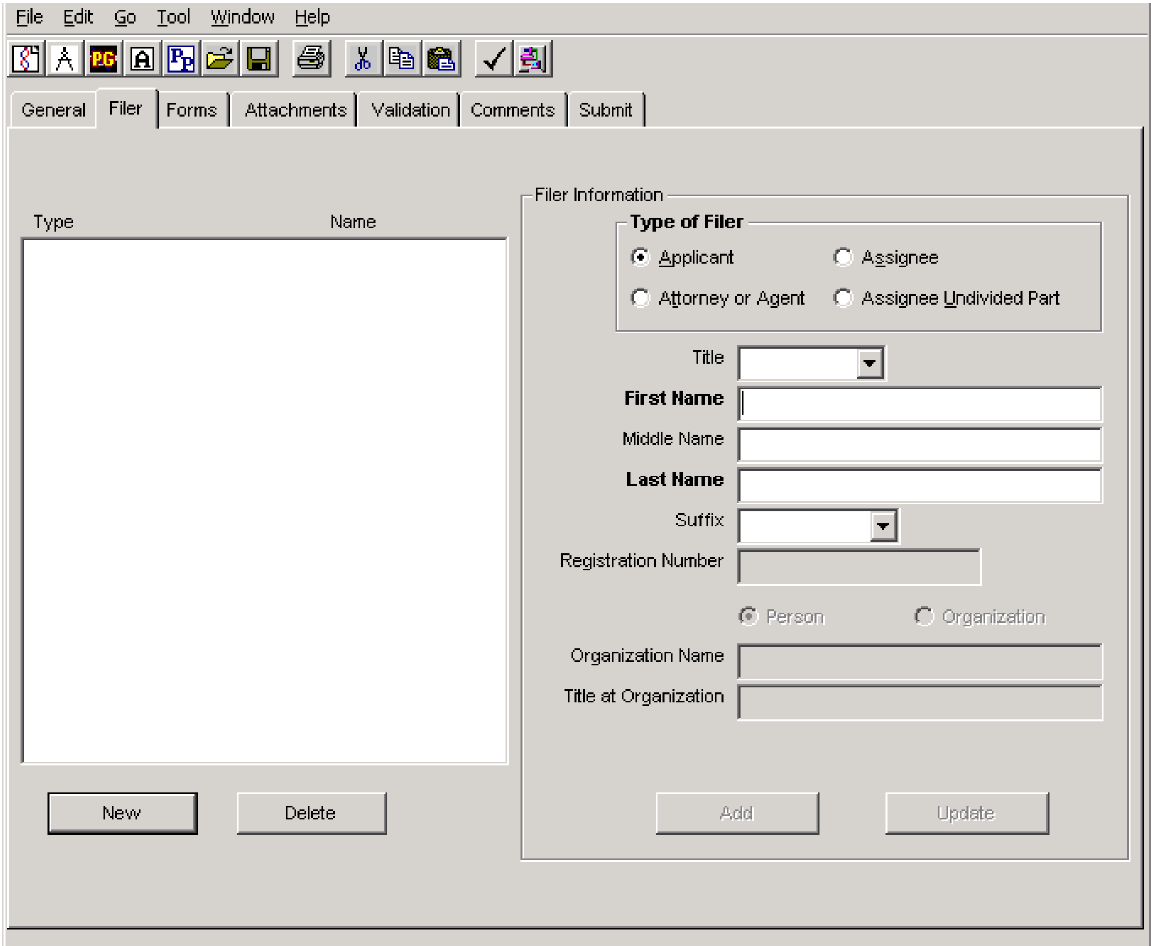


Figure 172: Filer Tab

The fields on this tab vary depending on the type of filer that you specify. The filer information that you enter on this tab becomes part of the transmittal form that ePAVE automatically produces as an XML form document.

In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations who sign the transmittal on behalf of another party. If you are filing as an organization, you must also provide the Organization name and the Title at Organization of the person signing the application.

The following combinations of filers are acceptable: 1 or more attorney(s) or agent(s), 1 assignee only, 1 or more applicant(s) and assignee(s) of undivided part.

Fields and Buttons on the Filer Tab

The following table lists the fields and buttons on the **Filer** tab, and also describes the information that you must enter into each field and the function of each button.

Table 35: Fields and Buttons on the Filer Tab

Field or Button	Action	Required or Optional
New	Click this button to clear all of the fields on the **Filer** tab and begin creating a new filer.	N/A
Delete	Click this button to delete a filer after you highlight that filer in the list of filers.	N/A
Applicant	Click this button to identify the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.	Required - you must select one of these radio buttons.
Assignee	Click this button to identify the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Attorney or Agent	Click this button to identify the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).	
Assignee Undivided Part	Click this button to identify the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the filer.	Optional
First Name	Enter the first or given name of the filer.	Required
Middle Name	Enter the middle name of the filer.	Optional
Last Name	Enter the family or surname of the filer.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the filer.	Optional
Registration Number	Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s).	Optional
Person	Select this option if the assignee filing this transmittal is a person.	Required only when the Filer is identified as an Assignee. You must select either **Person** or **Organization**.
Organization	Select this option if the assignee filing this transmittal is a business entity or non-profit institution.	
Organization Name	Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution.	**Organization Name** and **Title at Organization** are required fields when the **Assignee** is an organization.
Title at Organization	Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization.	

Field or Button	Action	Required or Optional
Add	Click this button to add the new filer after you have completed the fields on the **Filer** tab.	
Update	Click this button to update the **Filer** information.	

Creating a New Filer

Use the following procedure to create a new **Filer**:

1. Click the **Filer** tab to go to the **Filer** tab.
   ePave opens the **Filer** tab.

2. Select the type of filer by clicking the appropriate radio button in the **Type of Filer** section.
   ePAVE deactivates any fields that are not required for the type of filer that you have selected.

3. Complete the remaining fields in the Filer Information section. For more information about these fields, see ***Fields and Buttons on the Filer Tab on page 252.***
   The filer information you enter will be a part of the transmittal form that ePAVE automatically produces as an XML form document.

NOTE: If the new filer is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons to indicate whether this assignee is an actual person or a business or non-profit entity.

4. Click the **Add** button.
   The filer is added to the list of filers shown on the left side of the tab.

5. Repeat **Step 2** through **Step 4** for any additional filers.

Changing Filer Data

ePAVE allows you to change the filer information for filers that you have already added. Use the following procedure to change filer information:

1. Go to the **Type/Name** field, and click the name of the filer that you want to edit. The current information for the selected filer appears in the **Filer Information** fields.

2. Enter any changes in the appropriate fields.

3. Click the **Update** button to update the filer information with your changes.

Deleting a Filer

ePAVE allows you to remove filers from the list of filers. Use the following procedure to remove a filer:

1. Click the name of the filer that you want to delete in the filers list, shown in the **Type/Name** field on the left side of the tab.

2. Click the **Delete** button.
The filer is removed from the list of filers, and all of the information about this filer is deleted.

Forms Tab

The **Forms** tab has two sections—**Form Description and Usage** and **Simple Form List**. The **Form Description and Usage** section displays text that describes the selected form and its intended use. The **Simple Form List** section of the tab shows all forms that are available for electronic filing in the **Available Forms** list, and shows forms in the EFS submission folder that you have selected to send to USPTO during your electronic filing transaction in the **Selected Forms** list.

Since you are filing a Patent Assignment submission, the **Fee Transmittal** and **Assignment Recordation** forms are required and are therefore shown in bold letters in both the **Available Forms** and **Selected Forms** lists. When a form title appears in bold letters, it indicates that the form is required for the type of patent application submission electronic filing you are creating. When you click on the name of a form in either the **Available Forms** list or **Selected Forms** list, a description of the form and its usage appear in the **Form Description and Usage** text display box.

Fields and Buttons on the Forms Tab

The following table lists the fields and buttons on the **Forms** tab, and also describes function of each field and button.

Table 36: Field and Buttons on the Forms Tab

Field or Button	Action or Function	Required or Optional
Form Description and Usage	This field displays a description of a form when you highlight the form in the **Selected Forms** field or the **Available Forms** field.	N/A
Available Forms	This field lists all of the forms that are available for the type of application you are creating. Click on the name of a form to view a description of the form in the **Form Description and Usage** field.	N/A
Selected Forms	This field lists all of the forms that you have selected from the **Available Forms** list, and also lists any forms that are required for the type of application you are submitting.	N/A
Add	Click this button to add a form listed in the **Available Forms** list to the **Selected Forms** list.	N/A
Remove	Click this button to remove a form from the **Selected Forms** list.	N/A
Open	Click this button to open the form that you have highlighted in the Selected **Forms** list.	N/A

Adding a Form

Use one of the following procedures to add a form to the **Selected Forms** list:

1. Click on the name of the form that you want to add in the **Available Forms** list.

2. Click the **Add** button.
The form is added to the **Selected Forms** list.

OR

1. Double-click the name of the form that you want to add in the **Available Forms** list.
   The form is added to the **Selected Forms** list.

Completing a Fee Transmittal Form

Use the following procedure to complete a Fee Transmittal form:

1. Click on the Fee Transmittal in the Selected Forms list.
2. Click the **Open** button.
   The **Fee Transmittal** screen appears, which shows three new tabs—**Filer Status**, **Fee Calculation**, and **Method of Payment**.
3. Complete the required fields on each of these tabs. For more information about these fields, see *Fee Transmittal Form on page 257*.
4. Close the form by clicking the **X** in the upper right hand corner of the screen, or by selecting **Close** from the **File** menu.
   A dialog box appears, asking if you want to save the form.
5. Click **Yes** to save the form.
   After the program successfully saves the document, you are automatically returned to the **Forms** tab.
   ePAVE automatically creates a fee transmittal XML form document based on your saved data, which is automatically attached to the submission. The file is also shown on the **Attachments** tab, along with the directory path for the form.

Completing an Assignment Recordation Form

1. Click on the Assignment Recordation in the Selected Forms list.
2. Click the **Open** button.
   The **Assignment** screen appears, showing three new tabs—**Correspondence Data**, **Conveying party Data**, **Receiving Party Data**, **Properties**, **Signature**, and **Delivery Method**.
3. Complete the required fields on each of these tabs. For more information about these fields, see *Tabs on the Assignment Recordation Form on page 265*.
4. Close the form by clicking the **X** in the upper right hand corner of the screen, or by selecting **Close** from the **File** menu.
   A dialog box appears, asking if you want to save the form.
5. Click **Yes** to save the form.
   After the program successfully saves the document, you are automatically returned to the **Forms** tab.
   ePAVE automatically creates an assignment recordation form document based on your saved data, which is automatically attached to the submission. The file is also shown on the **Attachments** tab, along with the directory path for the form.

Removing a Form

Use the following procedure to remove a form from the **Selected Forms** list:

1. Click on the name of the form in the **Selected Forms** list that you want to remove.

2. Click the **Remove** button.
   The form is removed from the **Selected Forms** list.

You can remove any form listed in the Selected Forms box from the submission, but if you remove a recommended/required form you may cause validation errors.

If you have already saved the form, which automatically attaches it to the electronic submission package, you must also remove the form from the electronic package after you remove it from the Selected Forms list. To completely remove the form from the submission, select the Attachments tab, select the form again, and then click the REMOVE button. For more information about this procedure, see the description provided in the Attachment Tab section.

Fee Transmittal Form

The following sections describe the tabs that are part of the **Fee Transmittal** form.

Filer Status Tab

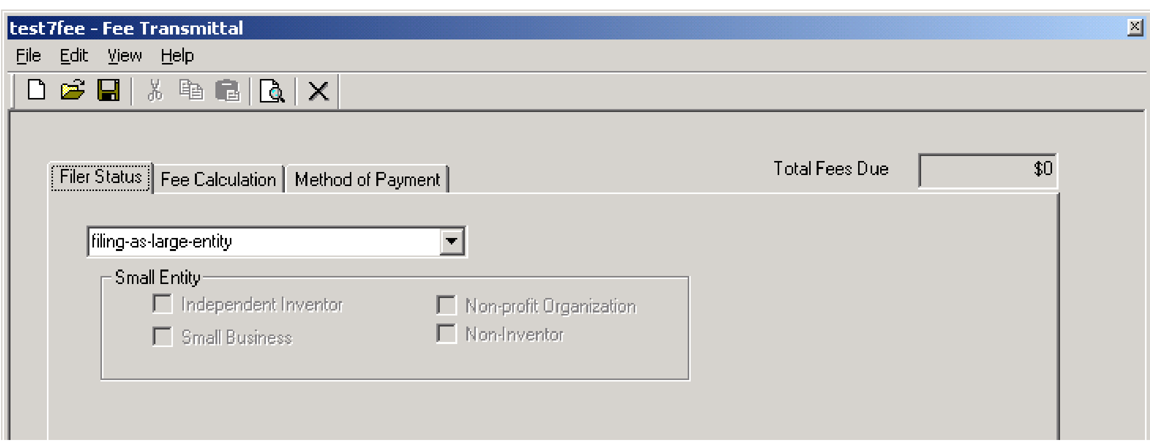


Figure 173: Fee Transmittal - Filer Status Tab

The **Filer Status** tab is not applicable for a Patent Assignment filing. Do not complete any fields on this tab.

Fee Calculation Tab

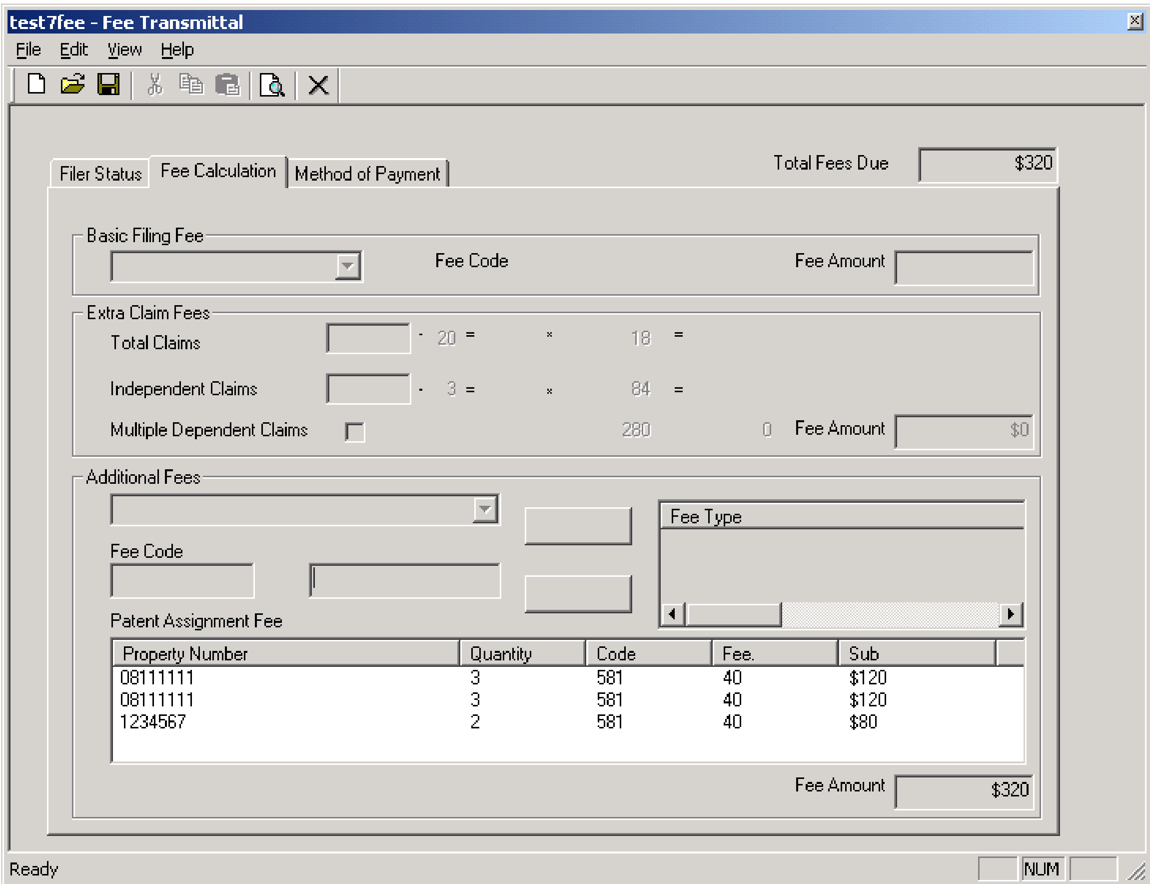


Figure 174: Fee Transmittal - Fee Calculation Tab

The **Fee Calculation** tab is where ePAVE calculates the fees associated with your submission. You are not required to enter any information on this tab when you are submitting a subsequent patent assignment.

Please note limited information will be available in the Revenue and Accounting System when multiple coversheets are authored and the payment method selected is <u>credit card</u>. Using information from the example above, <u>the first property number(08111111) for the first coversheet will be</u> entered into the RAM system, and the RAM system would contain 3 separate 581 fee code entries (with the indicated SUB fee shown for each entry). Please note that the property number used in the RAM system may not accurately reflect the first property from <u>each coversheet</u> if unrelated coversheets are authored and submitted as one package.

Entries made into the RAM system for multiple (related or unrelated) coversheets using the Deposit Account payment method will have an individual entry made for each coversheet and the first property number <u>will be used from each coversheet</u>. Using the above example, RAM would show 2 581 fee code entries for application number 08111111 and 1 entry for 581 for patent number 1234567.

Method of Payment Tab

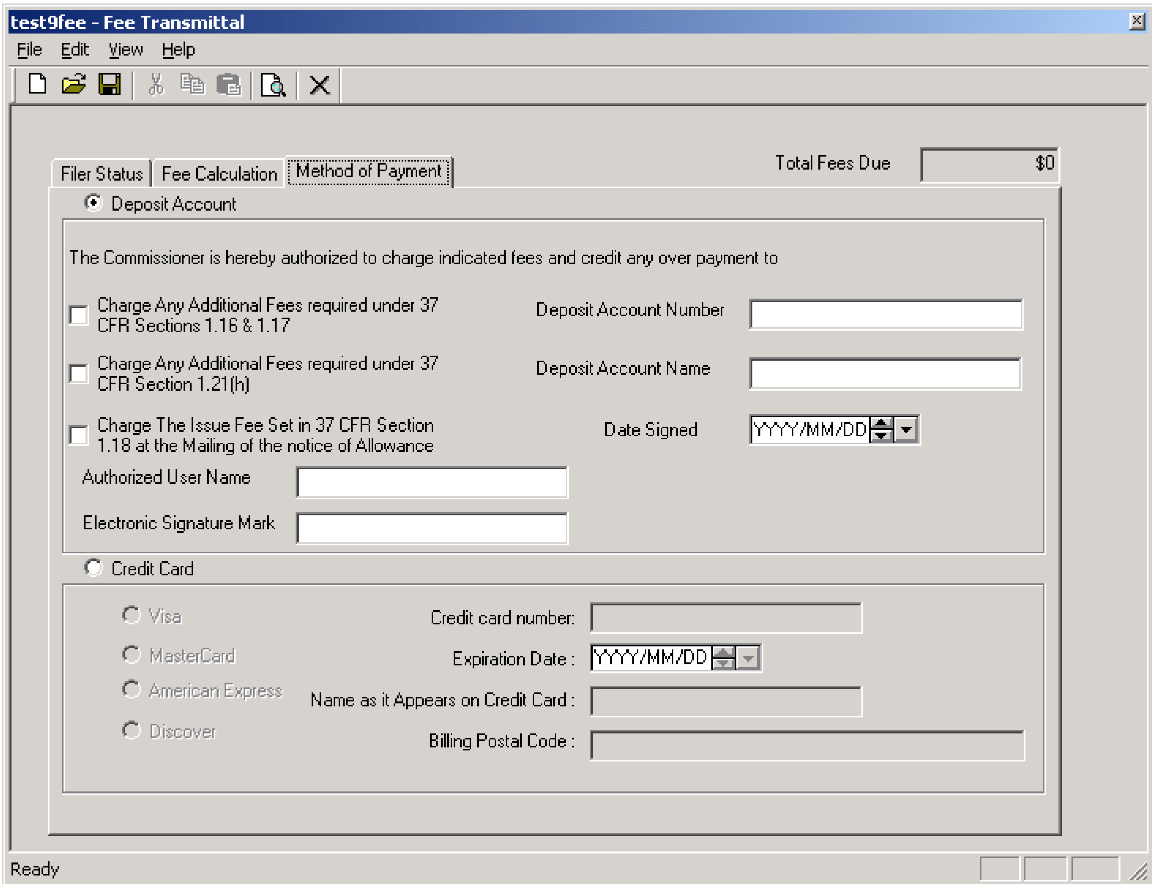


Figure 175: Fee Transmittal - Method of Payment Tab

Select the payment method by clicking either the **Deposit Account** or **Credit Card** radio button, and then use one of the procedures below to complete the Method of Payment tab. This provides the information the USPTO needs to collect the applicable fees for the Patent submission.

Deposit Account

1. If you select **Deposit Account** as your payment type you may authorize USPTO to charge additional fees (as allowed by CFR sections cited next to each button) that are not calculated on this sheet at the time of submission by checking the checkboxes provided.

2. Enter the **Deposit Account Number** and **Deposit Account Name** for the account that is to be charged by the USPTO. These fields are required for deposit account transactions.

3. Enter the name of the individual who is authorized to sign for use of deposit account in the **Authorized User Name** field.

4. Enter the electronic signature of the authorized user in the **Electronic Signature Mark** field.
   The Deposit Account will be charged the amount that appears in the **Total Fees Due** field in the upper right-hand corner of the tab.

   The Fee XML file will be created when the **Fee Transmittal** tab is closed.

Credit Card

1. If you select **Credit Card** payment, indicate the card type by clicking on the radio button associated with it.

2. Enter the Credit card number, expiration date, the Name on the Credit Card and the Billing Address in the fields provided. The Deposit Account or Credit Card will be charged the amount that appears in the Total Fees Due field in the upper right-hand corner of the tab.

   The Fee XML file will be created when the **Fee Transmittal** screen is closed.

Assignment Recordation Form

The EFS 4.1 release that includes new ePAVE software allows you to submit single or multiple assignment documents for electronic submission. You can file these assignments along with a new utility patent application, a patent provisional application, or as a subsequent filing. Subsequent assignment filings must identify the patent property(s) being assigned. A property tab has been added to the assignment form for subsequent assignment filings. Subsequent assignment filings provide the capability to submit related or unrelated assignment coversheets. All multiple coversheets will be treated as individual assignment documents after receipt at the Assignment Services Division.

To submit an electronic assignment for recordation, you must complete the Assignment Coversheet Form required for an electronic assignment recordation.

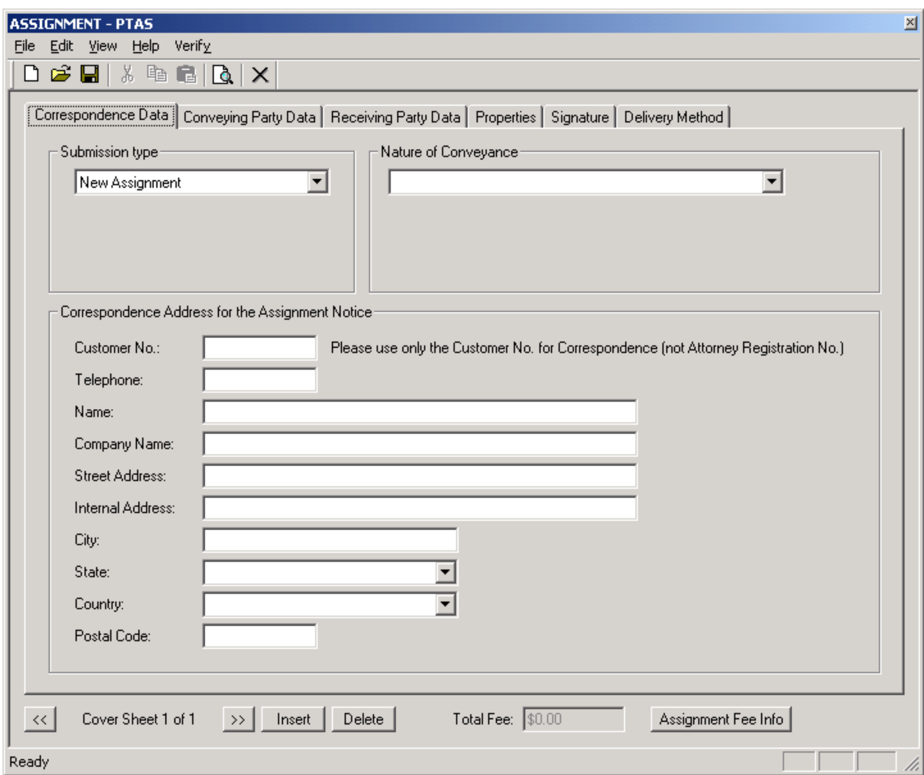


Figure 176: Assignment Coversheet Recordation Form Opening Screen

The Assignment Coversheet form has been divided into 6 main tabs—**Correspondence Data**, **Conveying Party Data**, **Receiving Party Data**, **Properties**, **Signature** and **Delivery Method**.

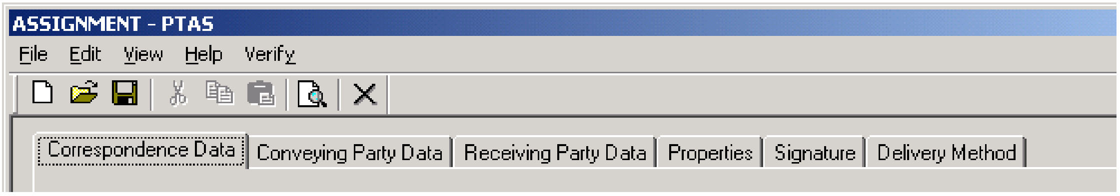


Figure 177: Tabs Available on the Assignment Coversheet Form

Authoring Multiple Coversheets

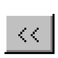
You may complete up to 15 assignment coversheet forms for recordation and submit them in one submission. Each coversheet will be processed individually after receipt at the Assignment Services Division.

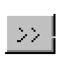
Form Validating Required Data Elements

It is essential for the recordation of your assignment(s) that all required data elements are provided. To ensure the presence of data for the required data elements of each authored assignment coversheet form, form validation routines for the assignment coversheet have been provided. This capability provides the user with form validating routines that will automatically occur when the user navigates between authored coversheets. When exiting the Patent Assignment Recordation module the routines will be applied to all coversheets once the user chooses to save the assignment XML file. A message will only be displayed if a coversheet is lacking any of the required data. Additionally, you may execute the validation routine on demand by selecting or clicking the **Verify** button on the **Delivery Method** tab or by selecting the menu item **Check Current Coversheet** or **Check All Coversheets** from the **Verify** menu on the menu bar. When the Verify button is used or when selecting **Check Current Coversheet** from the **Verify** menu, only the contents of the current coversheet is validated. To validate all authored coversheets select **Check All Coversheets** from the **Verify** menu.

Navigational Controls

The Assignment Recordation form provides the following navigation buttons:

- **Previous** 

  Move to the previous coversheet.
- **Next** 

  Move to the next coversheet.
- **Insert**
  Insert additional assignment coversheet forms (there is a limitation of 15 assignment recordation forms per patent assignment electronic filing).
- **Delete**
  Delete any authored assignment coversheet form prior to transmission.

Figure 178: Navigational buttons and controls

The current coversheet is identified between the **Previous** and **Next** buttons.

If required data is missing from the current coversheet, a message is displayed identifying the elements lacking data.

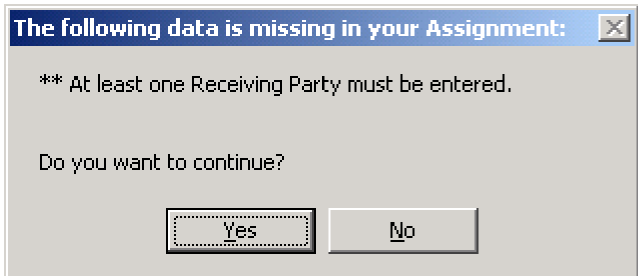


Figure 179: Missing Data

Select **yes** to continue or select **no** to return to the current coversheet.

Insert Button

Click on the **Insert** button to create an additional assignment coversheet or to insert a new form between two already authored forms. A message is displayed requesting that you specify where the insert should occur in relationship to the current form.

Figure 180: Insert Cover

- Select **Yes** to place the new form before the current form.
- Select **No** to place the new form after the current form.
- Select **Cancel** to return to the current form.

Delete Button

Click the Delete button if you want to remove the current coversheet from the batch of coversheets in this filing. When the **Delete** button is selected, a confirmation message is displayed asking you to confirm the delete request.

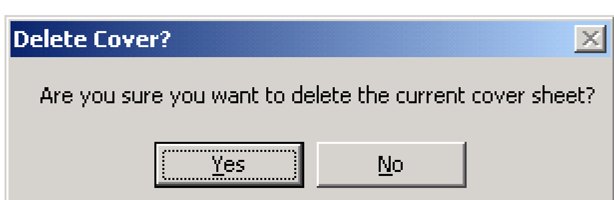


Figure 181: Delete Cover

- Select **Yes** to delete the coversheet and continue.

- Select **No** to cancel the delete and return to the current coversheet.

Previous Button

Click the **Previous** button << to move to the previous assignment recordation form.

Next Button

Click the **Next** button >> to move to the next assignment recordation form. When you click the **Next** button from the last coversheet, a confirmation message is displayed to determine if you are attempting to create an additional assignment coversheet.

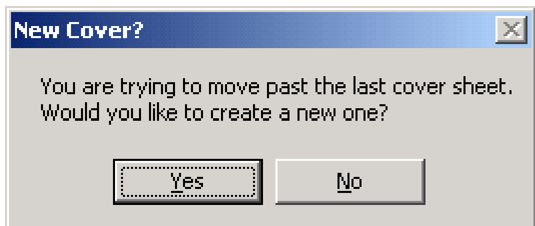


Figure 182: New Cover?

- Click **Yes** to create the next coversheet form.
- Click **No** to return to the current coversheet.

If you select **Yes** to create a new coversheet form and the current coversheet has attachments, the Copy Attachments Dialog Box opens to confirm whether you want to copy the attachments from the current coversheet to the new coversheet.

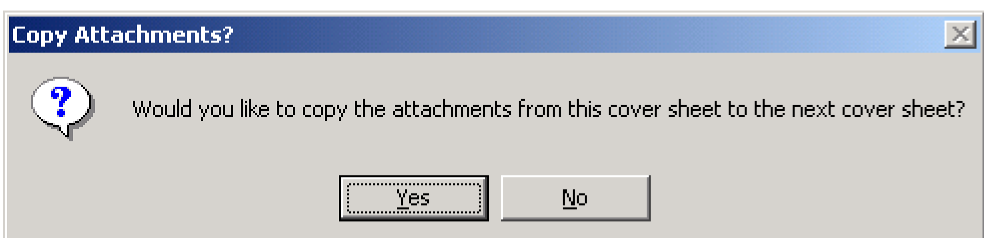


Figure 183: Copy Attachments

- Click **Yes** to copy the attachments from the current coversheet to the new coversheet. The attached tiffs in the current coversheet will automatically be referenced/attached to the new coversheet. If the same filename is attached in multiple coversheets (consecutive or non-consecutive) the file will only be attached to the final package once. The identification of the attachments inside the Assignment coversheet is only a reference; the ePAVE software will not allow duplicate filenames to be attached to the electronic package. When the assignment package is received in the USPTO and the XML file (specifically the attachments data element(s)) contains one or more references to the same filename, Assignment internal processing procedures will generate a copy or copies as needed. The internal procedures will attach the required conveyance document (tiffs) to each coversheet based on the references contained within each coversheet.
- Click **No** to continue without copying the attachments. Select this option if different conveyance documents will be used for the two coversheets.

Assignment Fee Info

The total fee information is shown at the lower right hand corner of each screen.

Figure 184: Fee Information

The **Total Fee** window provides a cumulative summary of the total fee due for this assignment filing. As coversheets are authored and/or properties are added on the properties tab, the **Total Fee** is adjusted.

The **Assignment Fee Info** button provides a detailed listing for all coversheets in this filing. Click on the **Assignment Fee Info** button to display the assignment fee information calculated for the assignment coversheets in this package. Once you have viewed this information, click **OK** to return to the coversheet form. The fee information includes the following items:

- coversheet number
- number of properties per coversheet
- fee amount per assignment coversheet form due for each form.
- first property number entered on each coversheet
- total property numbers for all coversheets
- total fee required for all authored assignment coversheets

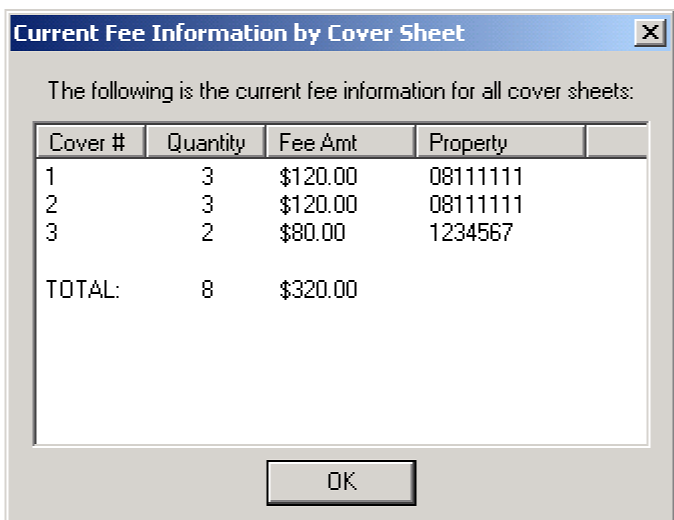


Figure 185: Coversheet Breakdown

If the fee transmittal XML is authored PRIOR to the authoring of the assignment coversheet(s), the Patent Assignment Fee window on the Fee Calculation Screen will NOT reflect any assignment coversheet fee data or assignment fee payment authorization. To have the assignment fee payment and authorization included in the fee transmittal XML you must re-visit the fee form to update. Any Assignment Recordation Coversheet received with NO payment authorization will be non-recorded and returned to the submitter.

Tabs on the Assignment Recordation Form

To record an assignment in the U.S. Patent and Trademark Office, specific information is required. The data elements required on the Assignment Recordation Coversheet Form 1595 used in paper and fax filings are required in electronic filings.

In order to comply with the Government Paper Elimination Act, the Delivery Method tab provides the user with the option of delivery via fax. Delivery via fax is the currently preferred method desired by the Office of Public Records to communicate with the correspondent(s). The default delivery method is fax and requires a fax number to be entered in the appropriate field. This will eliminate possible delays in returning official communications to the correspondent and will provide faster turn-a-round processing.

The Assignment Services Division in the Office of Public Records may not modify your electronic data (with the exception of modifying the customer number for correspondence address).

Each of the tabs, the associated data elements, and the requirement status of each data element are described below.

Correspondence Data Tab

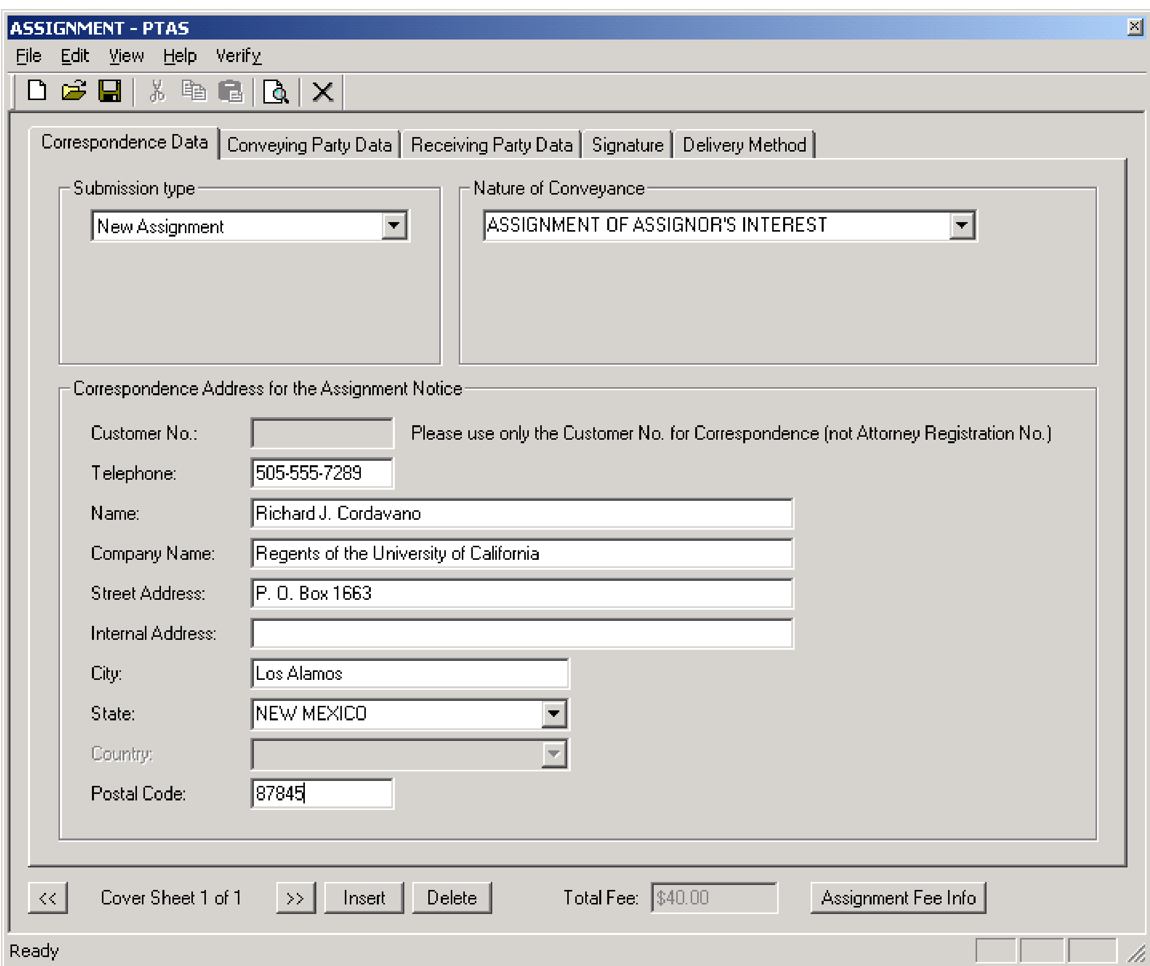


Figure 186: Correspondence Data Tab

The Correspondence Data tab contains three sections—**Submission Type**, **Nature of Conveyance**, and **Correspondence Address Data**. The **Submission Type** defaults to **New Assignment** for all submissions. The **Nature of Conveyance** data contains a drop down list of frequently used types of assignment transactions and a free form type for assignment transactions that don't fall into one of the standard types. When you select the free form option, a field labeled **Conveyance Text** is provided for free form data entry. The **Correspondence Address** section provides the user with the option to enter either a customer number (which will be padded with leading zeroes if the number is less than 6 digits) or the standard name and address fields. There are nine fields in the **Correspondence Address** section of the tab, which allow you to enter either the USPTO provided customer number or the name and address information for person or persons to whom the USPTO should direct official communication. This address will be used in addressing the correspondent(s) with the resulting communication from this assignment filing. You must enter either a customer number for correspondence address or a correspondence name and address.

Table 37: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required or Optional
Submission Type	The default value is **New Assignment**. You can not change this field at this time.	Required
Nature of Conveyance	This field contains a drop-down list of basic conveyance types commonly used in the USPTO. If the list does not contain the appropriate pre-formatted text that describes the interest conveyed or the assignment transaction, select **Free Form Text** at the bottom of the list. Upon selecting **Free Form Text**, a **Conveying Text** window appears.	Required
Conveying Text	Enter text that accurately describes the nature of conveyance. This field is limited to 250 characters.	Required if **Free Form Text** is selected in the **Nature of Conveyance** field.
Customer Number	Enter the customer correspondence address number provided by the USPTO. When you enter data in this field, the remaining Name and Address fields are disabled. During the examination processing of the assignment, the Office of Public Records will electronically retrieve the official address associated with the customer number. Characters are not allowed in this field. This field is limited to 6 digits. If the customer number is less than 6 digits, the number will be padded with leading zeroes. If you want to enter the Name and Address data, simply delete the entry in customer number. **NOTE: Please ensure that the customer number for correspondence address is provided; do not use the customer number for an attorney registration or the attorney registration number.**	Optional You must complete either the Customer Number field or the Name and Address fields.
Telephone Number	Enter the correspondent(s) telephone number; including	Optional

Field or Button	Action or Function	Required or Optional
	international codes and/or area codes. This field is limited to 20 characters.	
Name	Enter the name of the person or persons to whom correspondence should be addressed. Business or company names should be entered in the **Company Name** field. Data entered in this field will disable the **Customer Number** field. When you provide data for this field, the City, State or Country, and Postal Code (required for state names) fields are also required. This field is limited to 40 characters. If you want to enter data in the **Customer Number** field, delete all text entered in the name and address fields.	Optional You must complete either the **Customer Number** field or the **Name** and **Address**s fields.
Company Name	Enter the company name where correspondence should be addressed. This field is limited to 40 characters.	Optional
Street Address	Enter the street address for correspondent(s). This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for correspondent(s). This field is limited to 40 characters.	Optional
City	Enter the city name for correspondent(s). This field is limited to 20 characters.	Required if **Name** field completed.
State	If the correspondent/company address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for U.S. addresses if **Name** field completed.
Country	If the correspondent/company address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when	Required for non-U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.

Conveying Party Data Tab

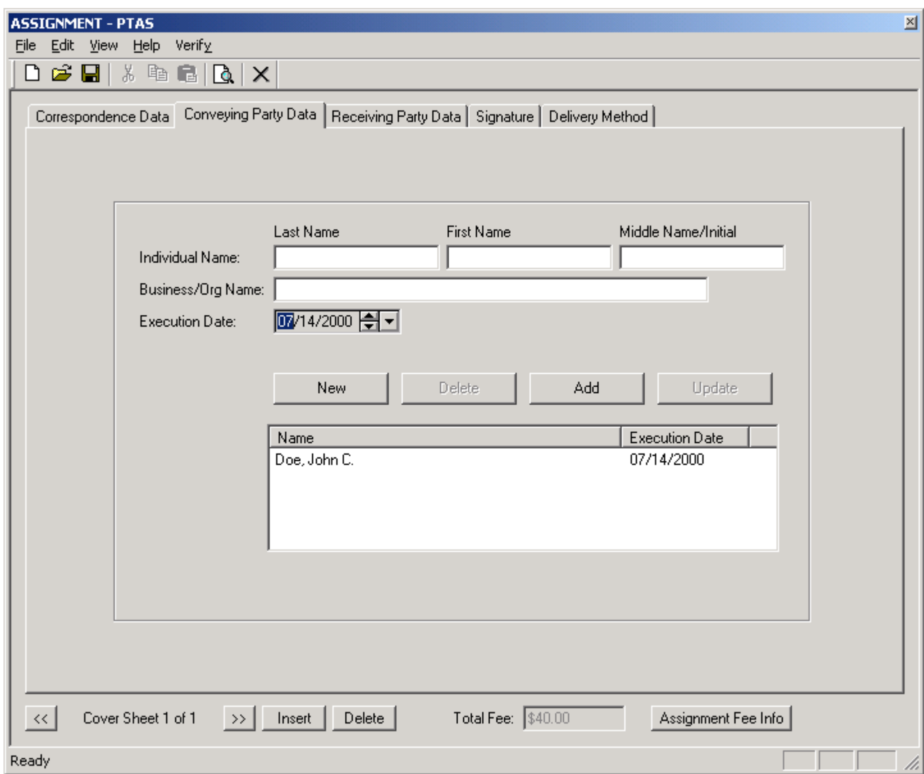


Figure 187: Conveying Party Data Tab

The **Conveying Party** tab consists of two primary sections, the conveying party name fields and the execution date field. The conveying party may be either an individual or a business or organization. You must provide at least one conveying party name and execution date. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO

Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

Table 38: Field and Buttons on the Conveying Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the conveying party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters. The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	Required when conveying party is an individual, except for **Middle Name/Initial**.
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word The, enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army	Required when conveying party is a business or organization.

Field or Button	Action or Function	Required or Optional
	This field is limited to 240 characters per business/organization name.	
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Receiving Party Data Tab

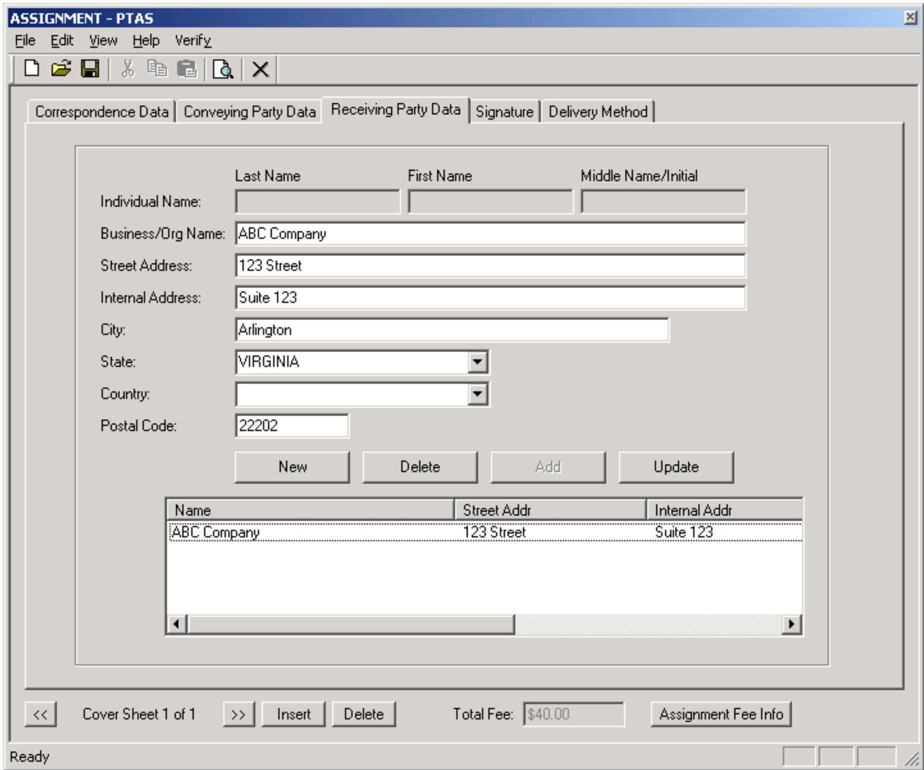


Figure 188: Receiving Party Data Tab

The **Receiving Party** tab consists of the receiving party name and address. You must enter at least one receiving party, and for each receiving party you must complete the name and address fields. The receiving party may be either an individual or a business or organization. Please note the detailed formatting information provided below. Following the specified format allows the data to be placed into the USPTO Assignment database records correctly and maintained accordingly. This is also required to accommodate current search and retrieval functions performed by USPTO employees and support search capabilities used by the public within the Assignment Search Room.

It is important to enter data in the prescribed formats to facilitate search and retrieval functions.

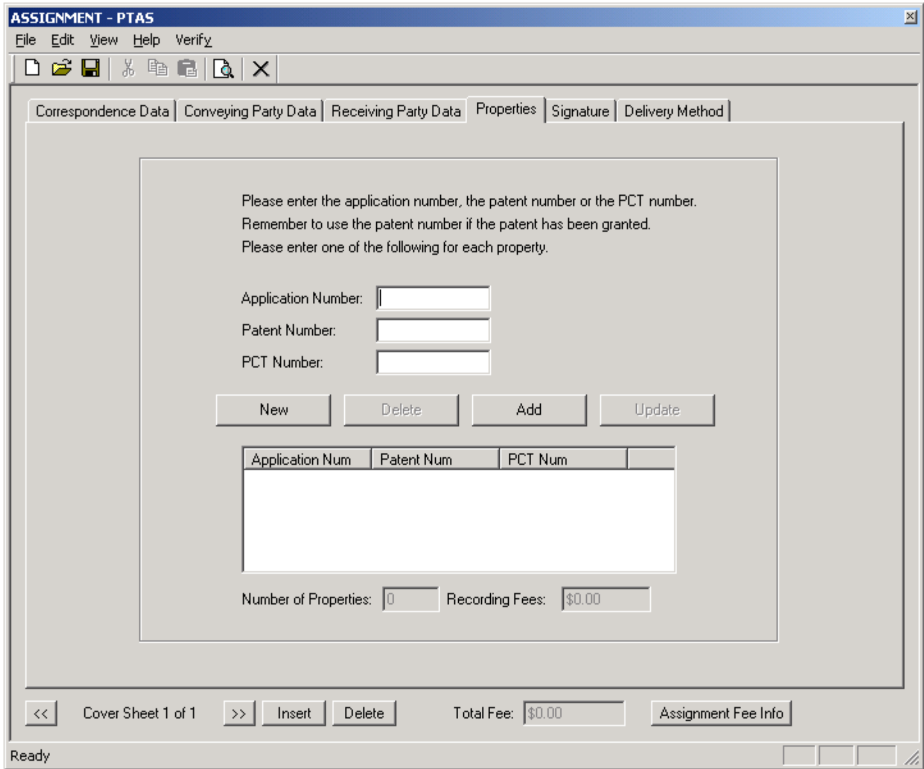
Table 39: Field and Buttons on the Receiving Party Data Tab

Field or Button	Action or Function	Required or Optional
Individual Name	The **Last Name** and **First Name** elements are mandatory when the receiving party is an individual. The **Middle Name/Initial** element is optional; you may leave the field blank or enter either a name or initial. The first name field is limited to 100 characters.	Required when receiving party is an individual, except for **Middle Name/Initial**.

Field or Button	Action or Function	Required or Optional
	The last name field is limited to 100 characters. The middle name field is limited to 40 characters.	
Business/Organization Name	**For business entities, enter the name of the business as follows:** Jones Building Supply **For business names preceded by the word "The", enter the name as follows:** Hartly Candy Company, The **For schools, colleges and universities, enter the name as follows:** Maryland, University of, The. OR California, University of, The Board of Trustees **For government agencies, enter the name as follows:** Energy, U.S. Department of **For government organizations, enter the name as follows:** Army, United States of America as represented by the Secretary of the Army This field is limited to 240 characters per business/organization name.	Required when receiving party is a business or organization.
Street Address	Enter the street address for the receiving party. This field is limited to 40 characters.	Optional
Internal Address	Enter the internal address, such as suite, building name, mail stop, etc. for the receiving party. This field is limited to 40 characters.	Optional
City	Enter the city name for the receiving party. This field is limited to 20 characters.	Required if **Name** field completed.
State	If the receiving party address is within the United States or a U.S. territory, you must select a state name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down state list. As you type characters into the State field, the	Required for U.S. addresses if **Name** field completed.

Field or Button	Action or Function	Required or Optional
	software attempts to match each keystroke with values contained in the drop down list. When your entry does not match those in the list, the unmatched state name is removed from the field when you move the cursor to another field. This field is limited to the State values shown within the drop down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	
Country	If the receiving party address is outside of the United States or U.S. territories, you must select a country name from the drop-down list provided. You may also type this value, but it must match an entry contained within the drop-down country list. As you type characters into the Country field, the software attempts to match each keystroke with values contained in the drop-down list. When your entry does not match those in the list, the unmatched country name is removed from the field when you move the cursor to another field. The Country field is limited to the values within the drop-down list. **NOTE: Assignment recordation practices only allow entry of a State Name or a Country Name but not both. Selection of one will eliminate the capability of selecting the other element. If an entry has been made into one of these fields and it is in error, you must delete the entry in the erred field in order to access the desired field.**	Required for non-U.S. addresses if **Name** field completed.
Postal Code	Enter the 5 - 9 digit postal code for a U.S. mailing address. Entry of a postal code for foreign countries is optional. This field is limited to 15 characters.	Required for U.S. addresses if **Name** field completed. Optional for non-U.S. addresses.
Execution Date	Select the date the assignment document was executed by the conveying party(s) by using the up and down arrows. Dates must be in MM/DD/YYYY format. This date must match the date that appears in the conveyance (TIFF) document that will be attached to this submission. When additional conveying parties are added, the prior date entered is shown in the **Execution Date** field. Each part of the date may be selected and changed as appropriate. The execution date may not be greater than the current date.	Required for each conveying party name .

Properties Tab



The **Properties** tab contains three property number fields:

- **Application number**
  An assignment relating to a national patent application must identify the national patent application by the application number (consisting of the series code and the serial number e.g., 07123456. Please **do not** separate the series code and the serial number with a slash (/).
- **Patent number**
  An assignment relating to a patent must identify the patent by the patent number.
- **Patent Cooperation Treaty (PCT) number**
  An assignment relating to an international patent application, which designates the United States of America, must identify the international application by the international application number (e.g., US9001234). Please **do not** separate the country code and the year of filing (US90) with the 5-digit number (01234) with a slash (/).

Do not enter the application number once the patent number has been entered. The user may only enter one of the three property numbers at a time. When an entry is made into one of the fields, the other two fields will be temporarily disabled.

Do not provide an entry for an application number and then enter the associated patent number.
Do not provide an entry for an application number and then enter the associated Patent Cooperation Treaty number.

Do not provide an entry for a Patent Cooperation Treaty number and then enter the associated application number.
Do not provide an entry for a patent number and then enter the associated application number.

Adding a Property

Use the following procedure to add a property:

1. Tab to the desired field, or click the mouse in the field to place the cursor there.
2. Enter the appropriate property number.
3. Click the **Add** button.
   The number is listed in the properties list.

Changing a Property

Use the following procedure to change a property:

1. Select the property from the property list.
2. Click the **Update** button.

Deleting a Property

Use the following procedure to delete a property:

1. Select the property from the property list.
2. Click the **Delete** button.

If a property number is entered and the user attempts to enter the same property number a message will be displayed indicating that duplicate numbers are not permitted.

Table 40: Field and Buttons on the Properties Tab

Field or Button	Action or Function
Application Number	Enter the 2-digit series code followed by a 6-digit serial number. This field requires you to enter 8 digits. You will receive an error message if the number that you enter is not 8 digits.
Patent Number	Enter the 7 alphanumeric or numeric characters that make up the patent number. For design, plant or reissue patent number please use the appropriate alphabetic characters. Please use leading zeros when necessary, for example: 0000001, D000001, PP00001 or RE00001. This field requires you to enter 7 alphanumeric or numeric characters. You will receive an error message if you enter less that 7 characters or enter all alphabetic characters.

Field or Button	Action or Function
PCT Number	Enter the 9 alphanumeric characters that make us the PCT number. Use the following format: 2-character country value 2-digit year 5-digit numeric number (please use leading zeros) This field requires you to enter 9 alphanumeric characters in the specified format. You will receive an error message if you do not enter 9 alphanumeric characters or if you enter an incorrect format.

Currently there is no method to determine if a relationship exists between the entered property numbers. Do not enter the application number and the patent number for the same patent property.

As each property number is added to the property list, the order of entry is maintained. As property numbers are added or removed from the property list, the value in the **Number of Properties** window and the **Recording Fee** window is automatically adjusted to reflect the action performed.

Figure 189: Property Information for Current Coversheet

Signature Tab

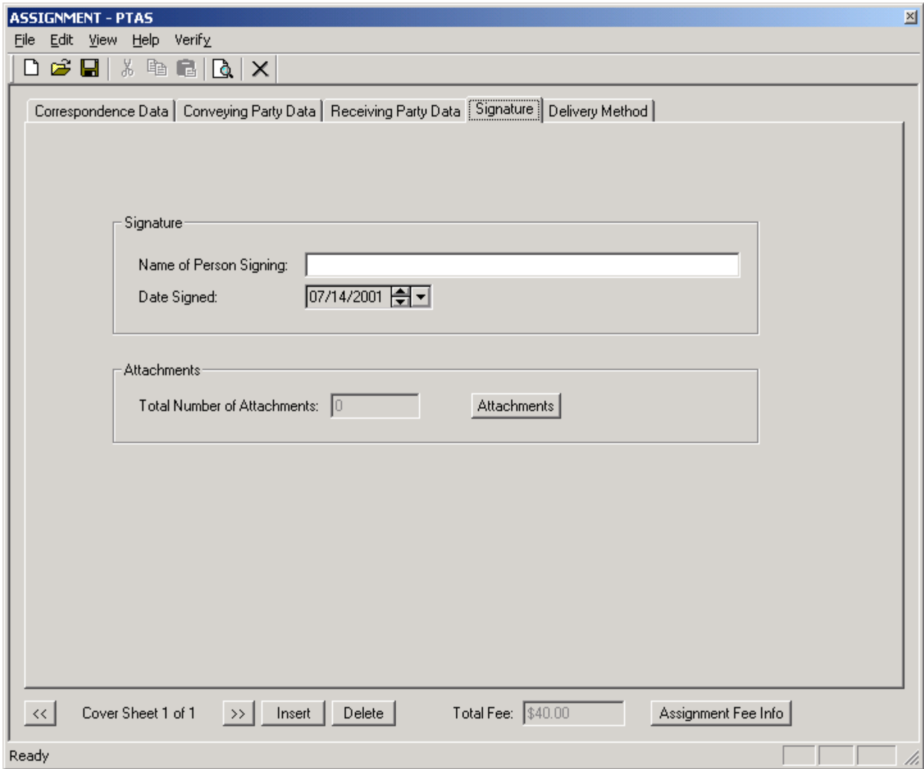


Figure 190: Signature Tab

The signature tab contains three fields—**Name of Person Signing**, **Date Signed**, and **Attachments**.

Table 41: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Name of Person Signing	Enter the name of the person who is electronically signing the submission. This field is limited to 40 characters.	Required
Date Signed	Select the date on which this form is completed or the date the user plans to submit this electronic package to the U.S. Patent and Trademark Office via ePAVE. Dates must use MM/DD/YYYY format. The date must be selected from the calendar resource provided. Each part of the date may be selected and changed as appropriate. The date entered for **Date Signed** may not be greater than the current date.	Required
Attachments	You can not enter any data into this field. Click the **Attachments** button to attach the conveyance document that supports the data entered in the current coversheet form. <u>The tiff files attached must be black and white single-page TIFF images</u>. <u>Image compression format must be 300 dpi Group IV or 300 dpi non-</u>	N/A

Field or Button	Action or Function	Required?
	compressed. For additional TIFF information please consult the *Technical Requirements* section in this user guide.	

Microfilm media is the standard archival method used by the Assignment Services Division. Microfilm format requires single-page black and white TIFF images.

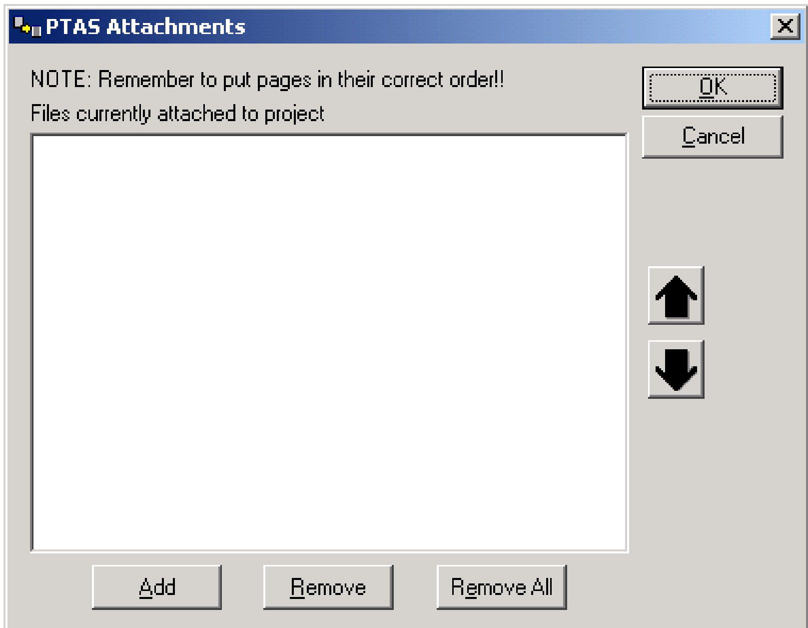


Figure 191: Attachment Dialog Box

Adding an Attachment

Use the following procedure to add an attachment:

1. Click the **Add** button.
   The following dialog box opens.

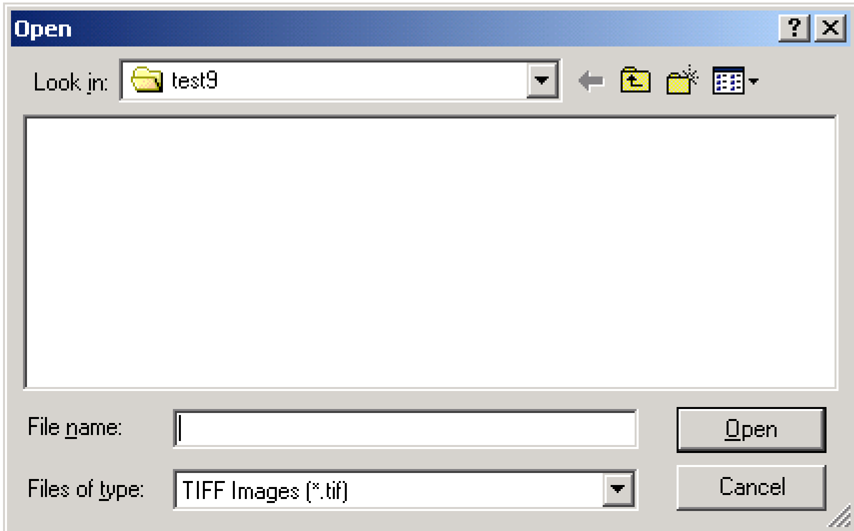


Figure 192: Adding attachment(s) to the current coversheet

2. Navigate the computer's hard drive to locate and select the file(s) that you want to attach as part of this submission.

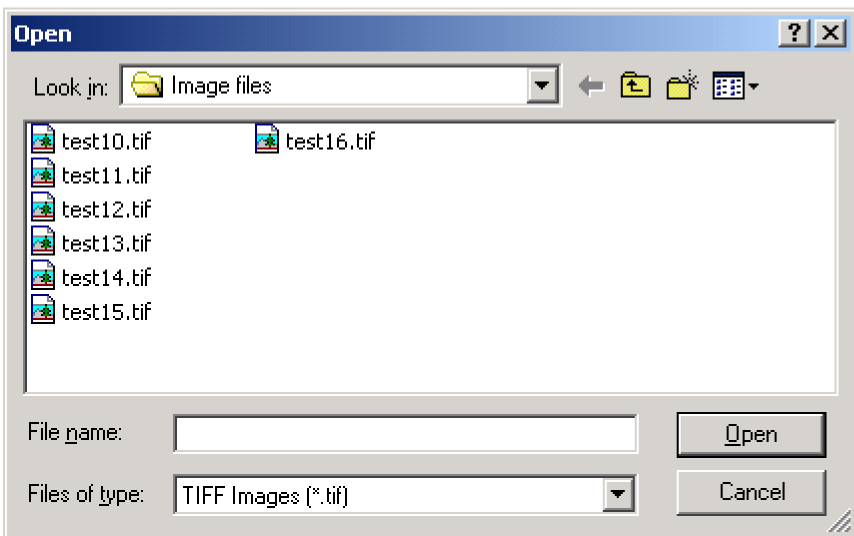


Figure 193: Attaching .tif Files

3. Click the **Open** button.
The files are attached.

The entry for the total number of attachments is automatically calculated based on your selection of files, and is displayed in the attachment field.

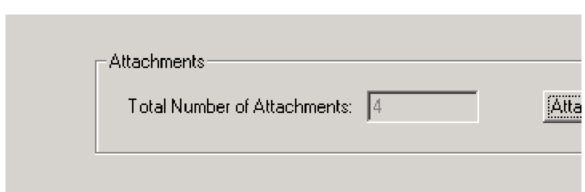


Figure 194: Attachment calculation

Please ensure that the list of attachments is in the proper page order for this electronic submission. This will ensure proper page order within the microfilm media. The recorded document will be placed on microfilm in the order the document is received. For example, based on the listing shown in the **Selection of TIFF Images** figure below, the file **C:\Image files\test11.tif** would become page 1 of the attachment, **C:\Image Files\test12.tif** would become page 2 of the attachment, **C:\Image Files\test14.tif** would become page 3 of the attachment and **C:\Image Files\test13.tif** would become page 4 of the attached assignment document.

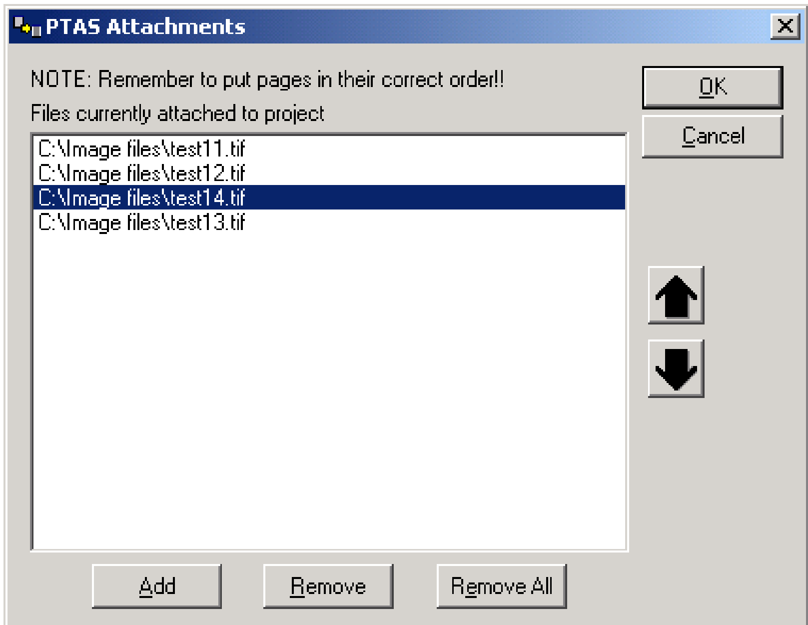


Figure 195: Selection of TIFF Images

Upon receipt in the Patent and Trademark Office, the electronic XML assignment document and assignment attachments will enter the Patent and Trademark (automated) Assignment System. During PTO pre-processing the assignment XML document is rendered using an XSL Stylesheet. This rendered document is then converted into a TIFF image and merged with the assignment attachments into an electronic folder that contains one assignment cover sheet document (may consist of multiple pages) and one assignment document (pages determined based on attachments). This process allows the electronic assignment submission to be entered directly into the automated Patent and Trademark Assignment System.

A legal supporting (conveyance/assignment) document is required to be attached to each authored coversheet.

Removing an Attachment

Use the following procedure to remove an attachment:

1. Select the attachment(s) that you want to remove from the current coversheet.

2. Click the Remove button to remove the TIFF attachment from the current coversheet, or click the Remove All button to remove all TIFF attachments from the current coversheet.

Rearranging the Attachments

Use the up and down arrow buttons on the **Attachments** dialog box to rearrange the order of the TIFF attachments (pages of the conveyance document) that are attached to the current coversheet.

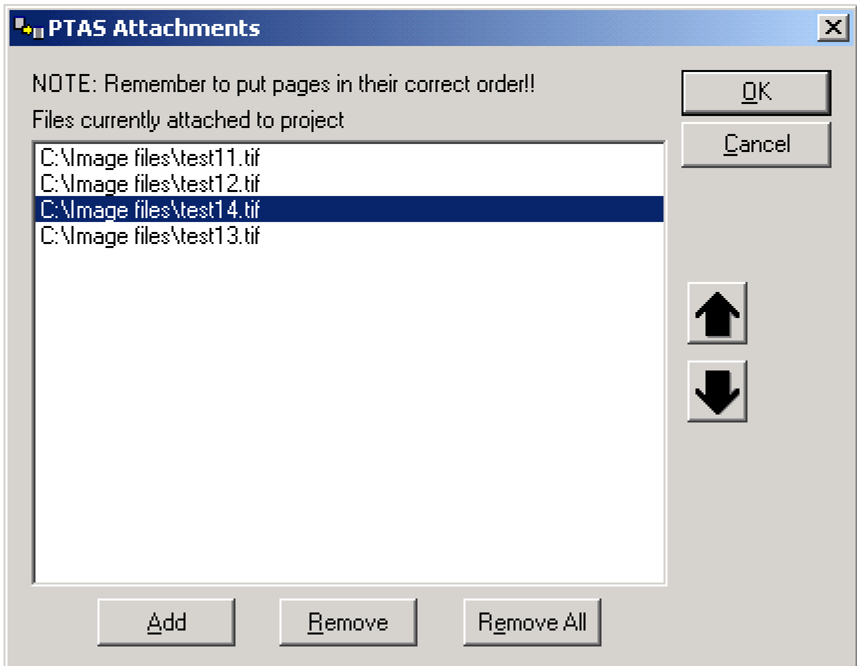


Figure 196: Attachments Box with NOTE to Put Copies in Order

Delivery Method Tab

The **Delivery Method** tab contains the delivery method options and the **Verify** button.

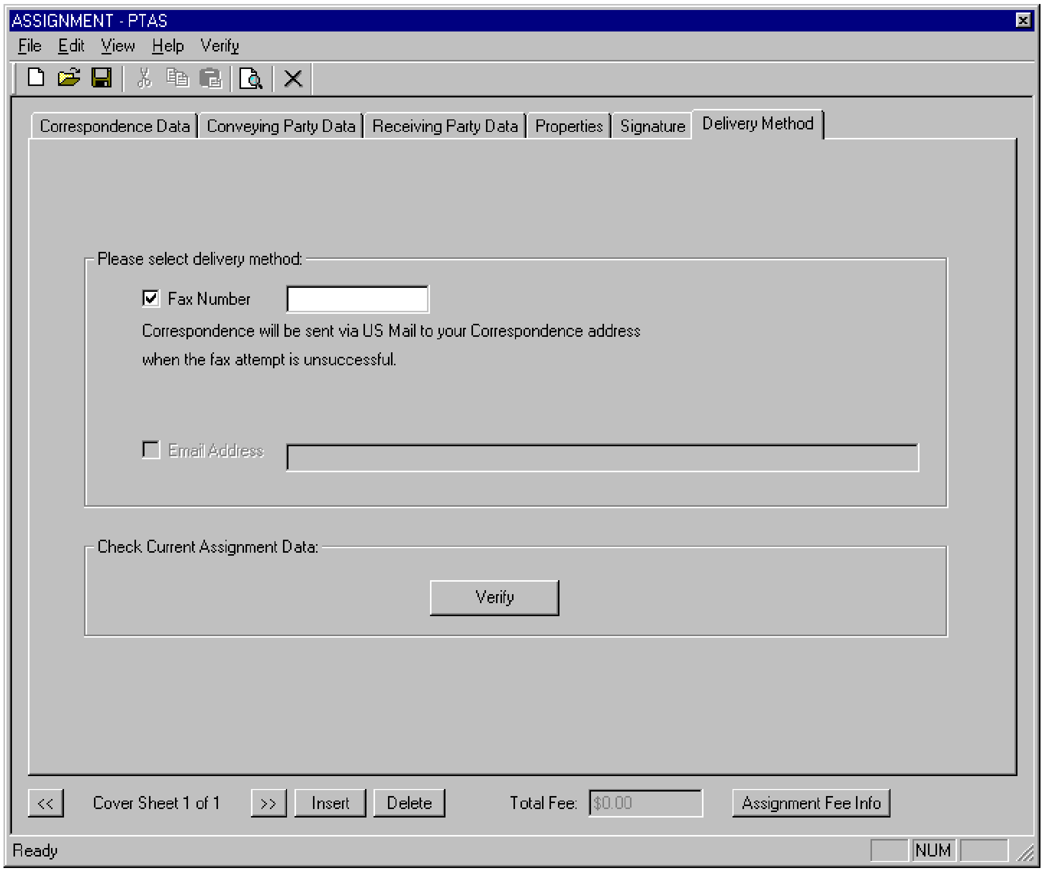


Figure 197: Delivery Method Tab

The default delivery method is **Fax Number**, and is automatically marked when the **Delivery** tab is selected. The **Email Address** option is intended for future use and is not available at this time.

Table 42: Field and Buttons on the Correspondence Data Tab

Field or Button	Action or Function	Required?
Fax Number	Enter the fax number where correspondence may be transmitted. Please enter a dedicated fax number. Numbers that are associated with PBX equipment, a switchboard or answering machine telephone lines will cause the fax transmission to fail. Faxing to an international telephone number is not permitted at this time. This field is limited to 20 characters.	Required if you want to receive correspondence by Fax.
Verify	Click this button to determine if all required fields have been completed for the **current coversheet**. A display message will indicate the findings based on the review of the entered data during the verification process.	N/A

Verifying Coversheets

Use the following procedure to verify all or one coversheet:

1. Go to the **Verify** menu.

2. Select **Check Current Coversheet** to verify the current coversheet, or select **Check All Coversheets** to verify the contents of all coversheets. You can access either of these menu items at any time during data entry.

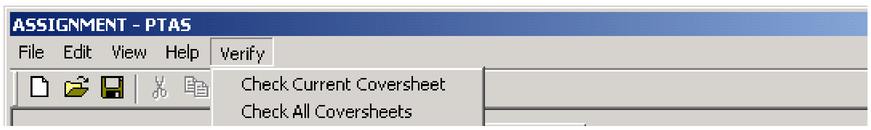


Figure 198: Verify Menu List

3. If data is missing from the **Check Current Coversheet** task, a message is displayed indicating the elements lacking data. If data is missing from the **Check All Coversheet** task, a message is displayed indicating the data element and the number of the coversheet that is lacking the element, as shown below. A display message is only shown when data is missing.

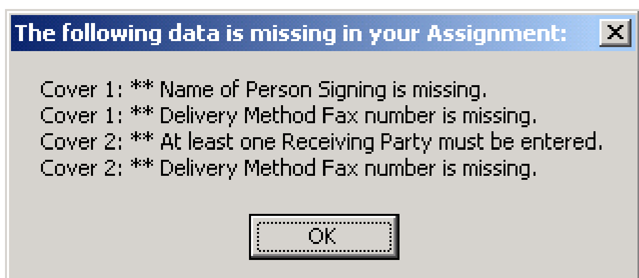


Figure 199: Check All Coversheets – Data missing

Viewing the Assignment Recordation Form

To view the electronic assignment submission XML document, a style sheet document (XSL document) has been provided and will render (in a single page display format) the data that you have entered in the electronic assignment form. When you author multiple coversheets, the display shows the contents of all coversheets on one screen.

To render the assignment XML document (all coversheets), go to the **View** menu and select **Recordation Cover Sheet** or click on the print preview icon located on the toolbar under the menu bar .

If multiple coversheets are authored, the Assignment Services Division automated programs will parse through the XML file and create individual XML files for each coversheet authored, then using XSL render the document and then create a tiff image or images from the rendered document.

Attachments Tab

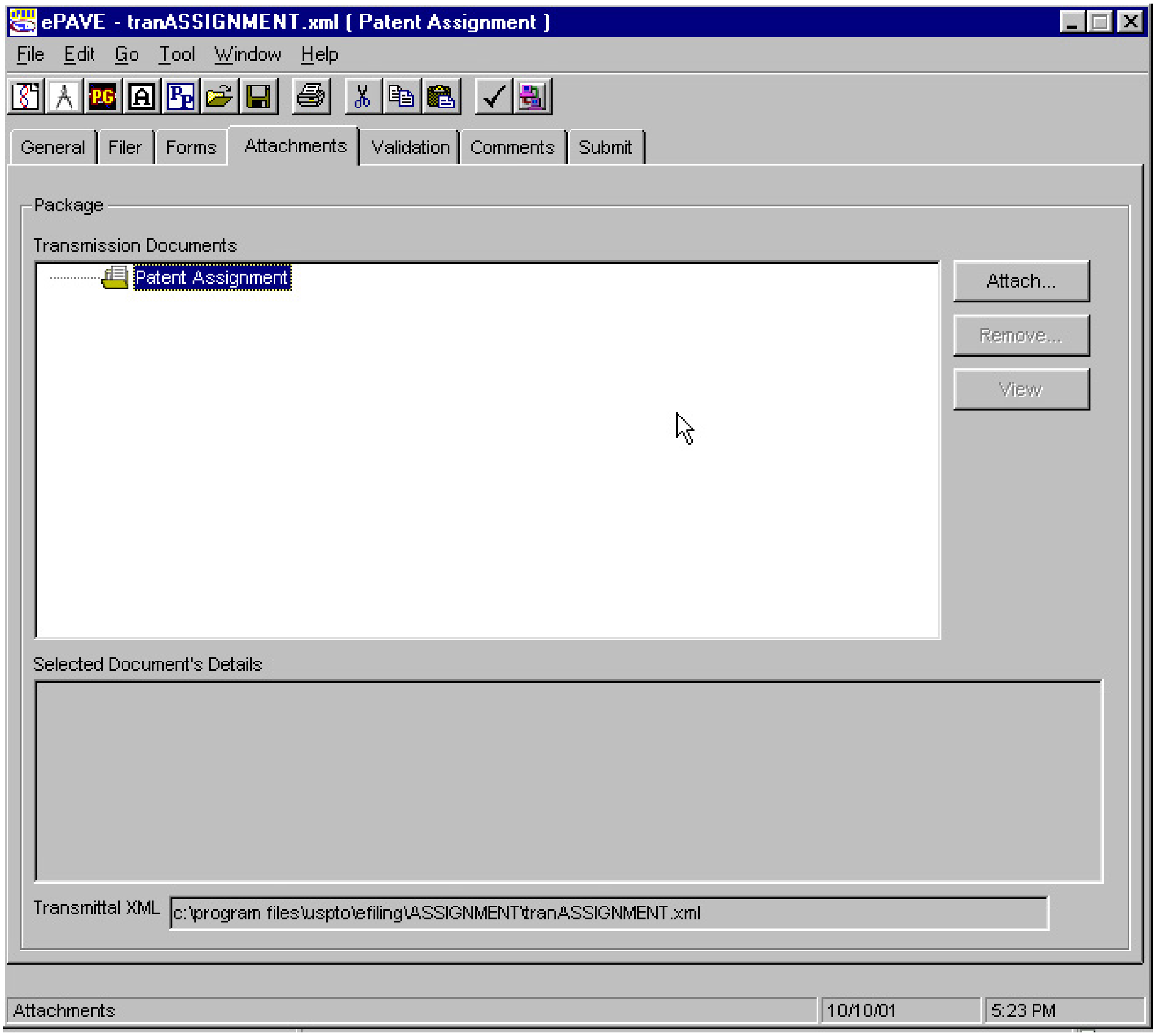


Figure 200: Attachment Tab

The Attachments tab allows you to attach your authored XML specification document with or without figures, and your tiff image file(s) containing the declaration for the new utility patent application to your submission.

When you attach the XML specification document a message will display prompting you to attach a declaration tiff image file(s).

After viewing an XML document you may close the viewing screen by clicking X in the upper right corner of the displayed screen or click the File on the menu bar and select exit.

To view the Submission Transmittal Form, click on **File** from the menu bar and select Print Preview. The Submission Transmittal Form is the cover letter for your electronic submission.

The attached declaration document and small entity statement must be single-page tif images. For example, if the declaration document is comprised of 3 pages, then there would be 3 tiff image files attached to the EFS submission each containing one page of the declaration document.

Figures or graphics associated with the specification XML document also are scanned as single tiff image files. Please refer to EFS Authoring User Manuals for a discussion of figures associated with the specification XML document.

You may also attach a text file produced using a sequence listing editor or you may attach a sequence listing file you authored using USPTO's sequence listing editor PatentIn, if you are submitting a new utility biotechnology Patent application.

Note: If you are submitting a text file as part of a New Utility Patent application filing the sequence listing contained in the CRF text file must be referenced in the Patent application specification document to be electronically filed.

The Transmission Documents box on the Attachment tab screen contains information identifying all the documents included in this submission. You will view a list of the electronic files you have attached to the submission package. At the bottom of the Attachment tab screen there is a box that displays details about the selected attached electronic document.

The Selected Document's Details shows the File Name, file size, File Date/Time and Document Type.

Attaching a File

1. Click one time on the **Attach** button with your computer mouse. A dialogue box will open to allow you to view the computer directories where you have stored the file to be attached.
2. Locate and highlight the drive and folder where you have stored the authored Patent application specification document. Attach the XML file containing the New Utility Patent application specification document and any associated tiff image files containing figures by double clicking on the file name, or by selecting the file and clicking **Open**.

   If you are filing a new utility application a dialogue box will next appear asking for the file name of a scanned image of the declaration statement. (This file is not required for filing, but is recommended.) This image file needs to be in TIFF image format. This box can be closed without selecting an image file.

Note: When removing the specification XML file, the declaration statement TIFF file will be automatically removed as well. If the declaration statement TIFF file needs to be updated, the specification XML file must be deleted and reattached.

The Embedded Folder

To facilitate the easy organization and transmission of patent applications, ePAVE now keeps items attached in the Attachments tab in an automatically created folder labeled embedded in the specified project folder that is created at the time of the first attachment.

During the creation of a project in ePAVE, the user will need to attach the specification document that was created in the authoring tool and depending on the situation, may need to attach other .tif images (such as a small entity claim).

When any attachment is made in the Attachments tab of ePAVE, a folder labeled embedded is created in the open project folder and the attachment is copied into that folder. For a specification this means that any .tif images, the specification's .dtd and .xsl files along with the selected .xml document itself are automatically copied into the embedded folder. For other stand alone attachments, such as a small entity claim, only the image itself is copied into the embedded folder.

The embedded folder does not separate the specification files from other attached files (such as a small entity claim).

Note: Attachments that are made as part of a form (such as an attachment in the Statement and Signature tab of the Patent Assignment Recordation form) are NOT stored in the embedded folder. ePAVE maintains the link to the attachment and sends it along with the rest of the files at the time of transmission.

The following illustrates what ePAVE does when files are attached in the Attachments tab.

- The image below is what the project folder looks like when it is initially created:

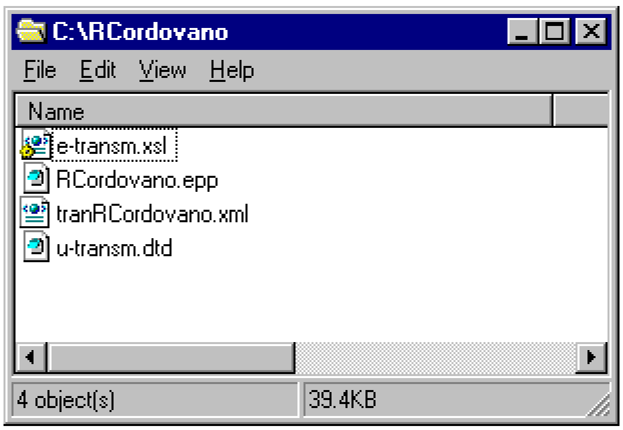


Figure 201: Project folder when first created

- Then a specification is added in the Attachments tab:

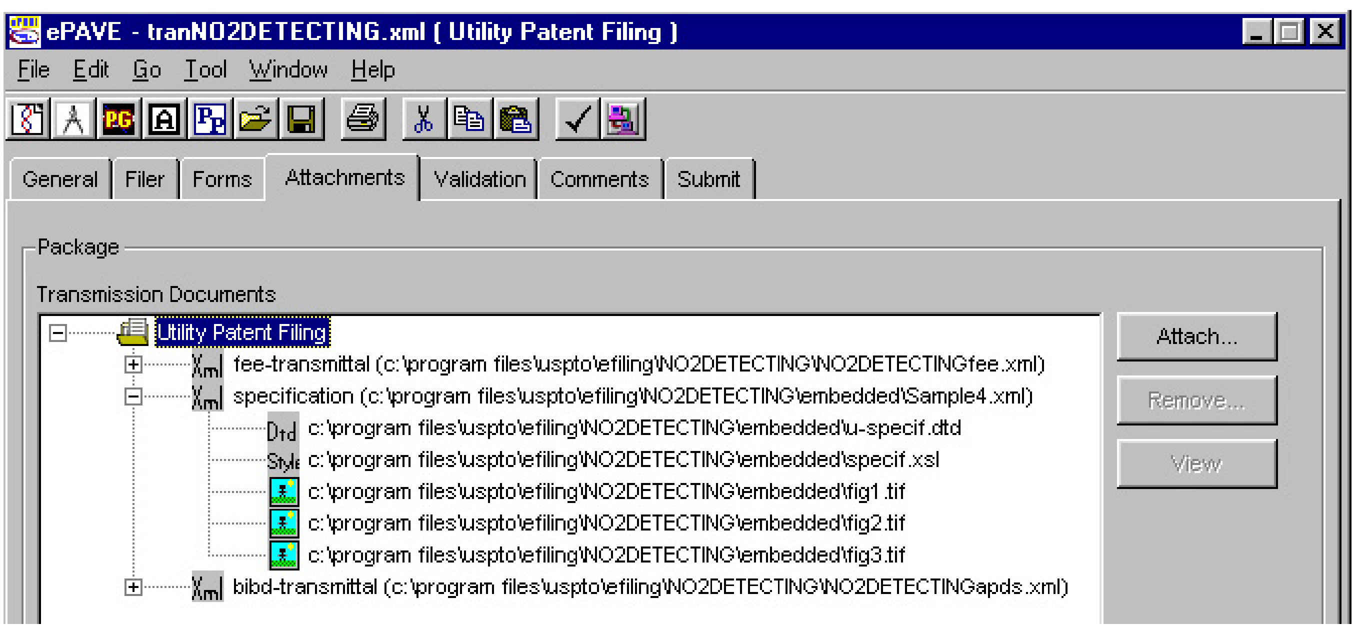


Figure 202: Attachments tab with specification and linked figure images

- After the specification is added, a folder labeled embedded is created in the project folder:

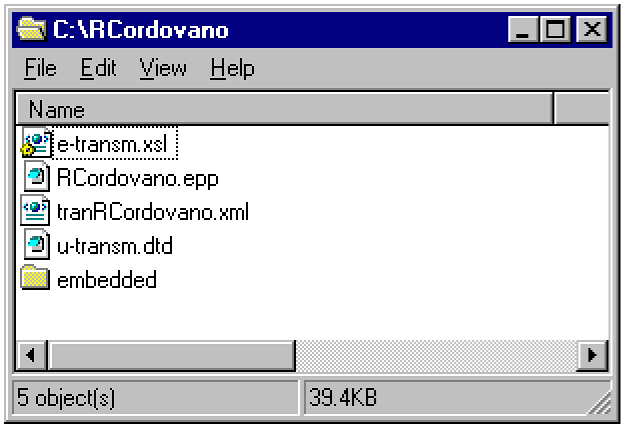


Figure 203: Project folder with embedded folder

- Within the embedded folder, the necessary files of the specification, including linked images are copied:

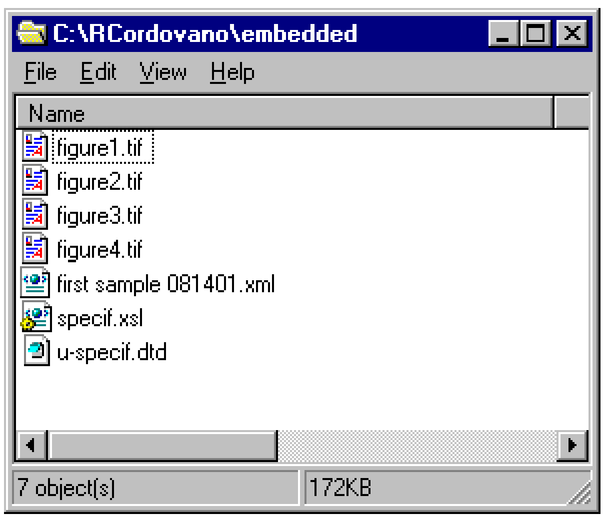


Figure 204: Specification and linked images in the embedded folder

- Then a declaration is added in the Attachments tab:

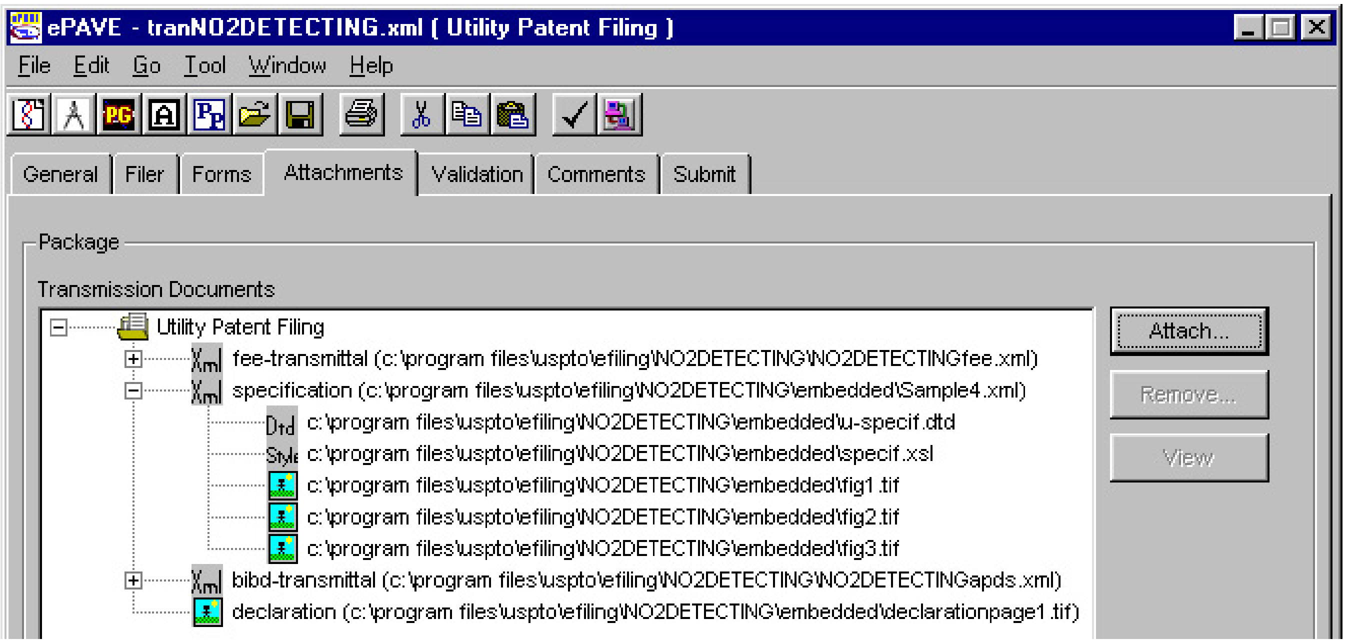


Figure 205: Attachments tab with attached specification and declaration

- The attached declaration is added to the embedded folder:

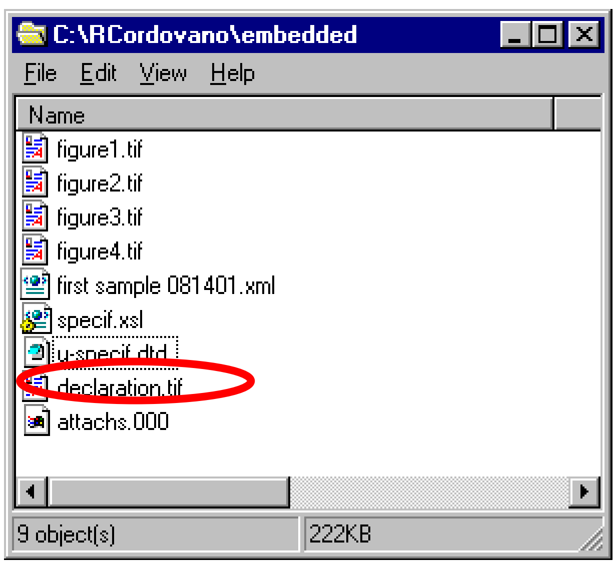


Figure 206: Embedded folder with specification and declaration

Removing a File

In addition to allowing you to attach files for bundling into the submission package, ePAVE also will allow you to remove files prior to submission.

1. Highlight the file you wish to remove. The entire file should appear in highlighted blue text box.
2. Click the **Remove** button to remove the attachment.

3. To re-attach a removed document you must either go back to the Forms tab and re-select the form you removed or click on the **Attach** button to locate the file you wish to re-attach.

Viewing and Printing Your Submission

The **View** button located under the **Remove** button on the Attachments Tab is used to view the Patent application XML documents using EFS USPTO standard style sheets and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.

Validation Tab

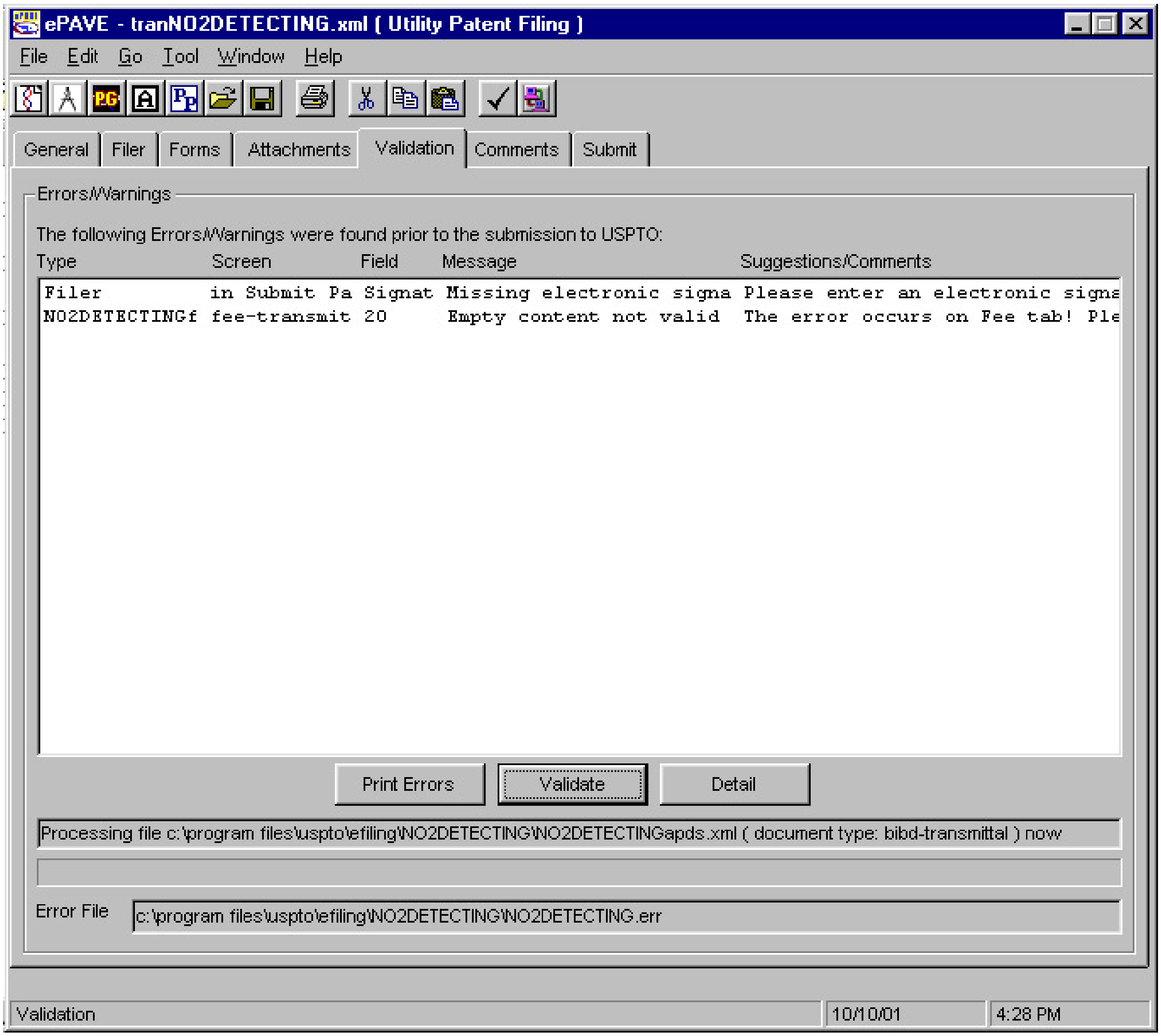


Figure 207: Validation Tab

The Validation Tab provides an automatic error check system that catches any errors you may have made before you submit your submission to the USPTO. You may manually validate the submission at any time by clicking on the **Validate** button in the Tab or by clicking the check mark icon on the ePAVE tool bar.

A list of all current errors appears on this screen. Once you have corrected the error, click the **Validate** button and they will disappear from the list as the submission is revalidated. Repeat this process until your entire submission is free of errors.

If the Errors/Warnings box contains information about any validation errors that occurred while ePAVE was validating your submission, an Error Message Detail box containing a more detailed explanation, can be displayed. As list of current errors can be printed at any time during the authoring stage of the submission process.

Validation Messages are produced by computer validation program reading the tagged data. Message text will identify specific errors related to computer reading of the tagged data.

Attempting to use an older version of ePAVE generates a common error. If the following error message is received, your version of ePAVE is not the most current.

This XML files DTD does not match any server's. Please check if you need to update your DTD

To check which version of ePAVE you have, launch the ePAVE program, click on Help, About ePAVE. Any version other than 3.0.15 is not current. If you need to install the latest version of ePAVE, please visit the EFS website at www.uspto.gov to download the latest ePAVE software. You may also obtain updated versions of the four EFS User Manuals.

Validating your Submission

You must be connected to the Internet before the validation can occur. If you have a dial-up modem, ensure that you are connected before validating.

To display an Error and Warnings dialogue box containing a more detailed explanation, highlight the error and double-click.

To validate or revalidate your submission click on the **Validate** button located on the Validation tab or ePAVE tool bar.

To print a list of the errors, click the **Print Errors** button.

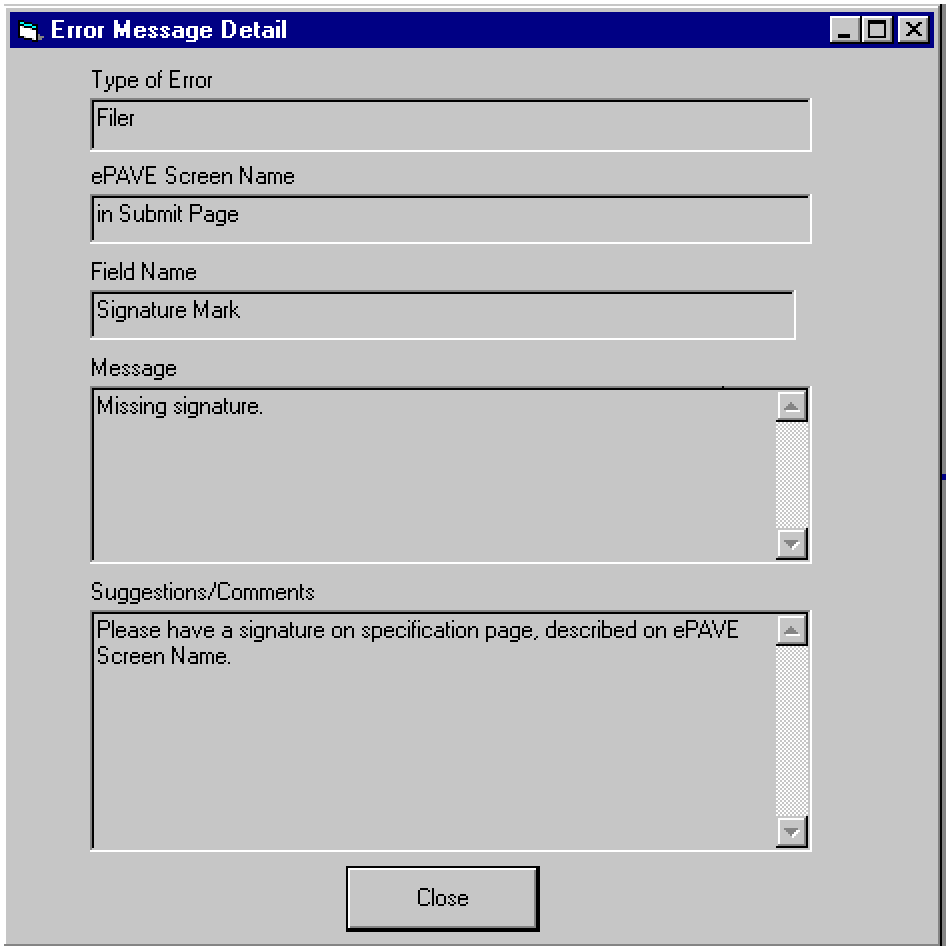


Figure 208: Validation Error Message Detail Use

The Error Message Detail provides you with suggestions or comments about how to correct the error identified during the validation process.

Comments Tab

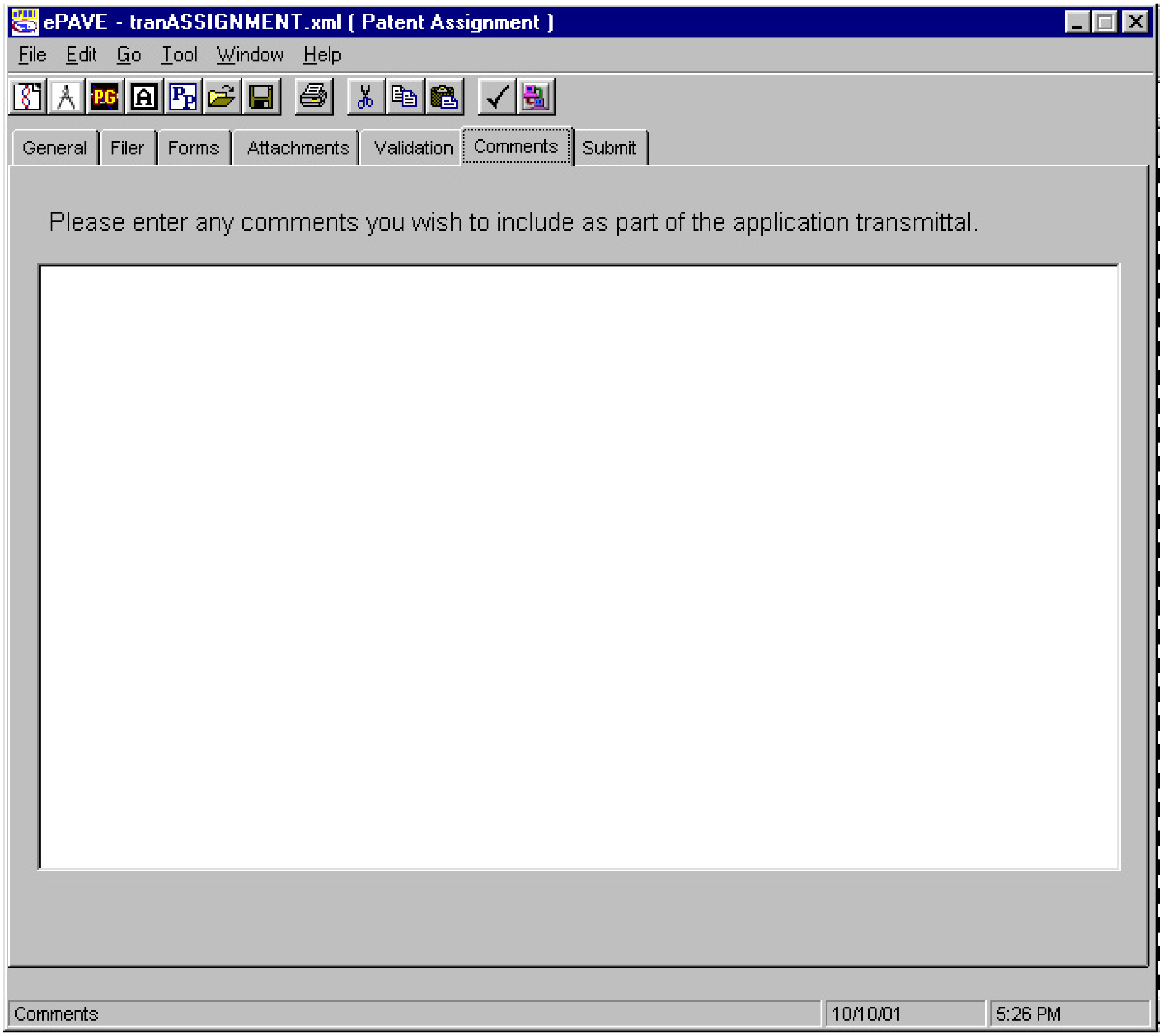


Figure 209: Comments Tab

The Comments tab is a text box used to author any additional comments regarding the EFS Patent application submission that you wish to include on your XML submission transmittal. Below are two examples of when you might provide additional information for pre-grant publication submission.

Example 1: If your pre-grant publication is being filed to correct errors in a previous publication, you may indicate what changes are being submitted for republication.

Examples of notations for citing corrections made to a publication submission follow. You need to identify the INID code, drawing page, paragraph number or claim number. The correct/to be published title of the application is captured on the transmittal form or you can repeat the title in the comments text field.

Example a: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example b: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Example 2: If you are submitting a specification and Patent application information for pre-grant publication you must provide a statement that the submission does not include any new matter.

Another example of text to be entered in the Comments Tab may be for the applicant who is filing a pre-grant publication redacted application via EFS to indicate that he or she has met the concurrent paper requirements of the new rule 1.217(c).

For a subsequent filing such as the CRF biotechnology sequence listing submission or the New Utility Patent application submission you may wish to include miscellaneous detailed information about the Patent application being electronically filed that is not conveyed in the attached documents and forms.

Submit Tab

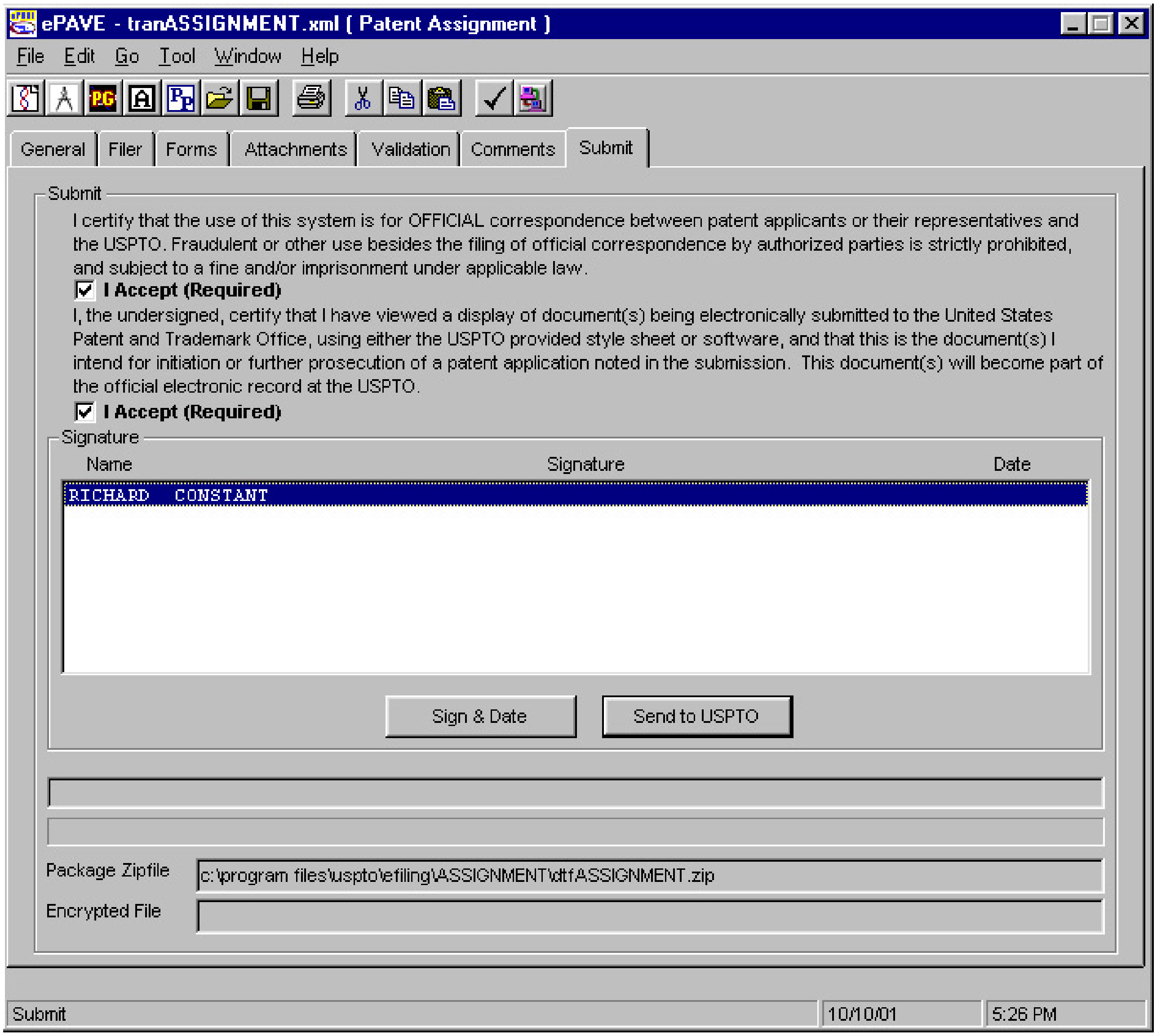


Figure 210: Submit Tab

The Submit tab is where you will sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

To check the first two boxes, click the computer mouse inside the box. To remove the check in the box, click the computer mouse again.

Signing Your Submission

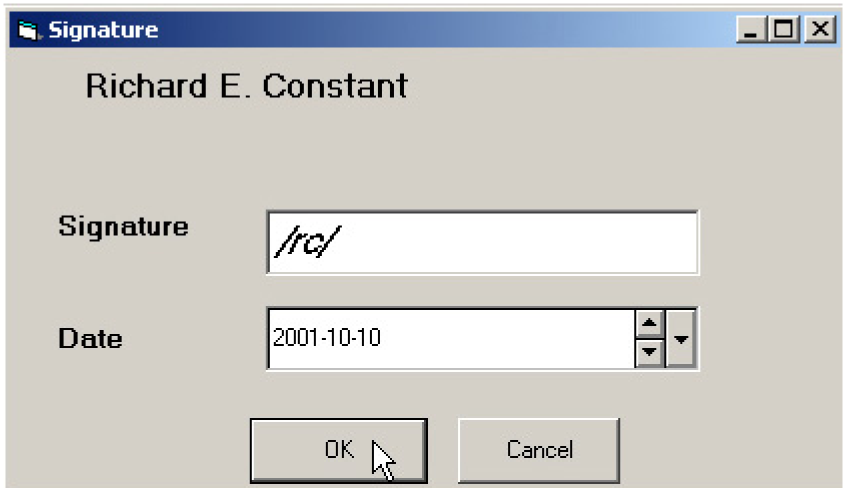


Figure 211: E-signature

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Prior to submitting the package to the USPTO, you must electronically sign your submission.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

1. Select the filer by highlighting the listed filer(s) in the Signature box.
2. Click the **Sign & Date** button. This will bring up the following Signature box for the selected filer:
3. Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the appropriate field, and enter the signing date.
4. Click **OK** to accept this signature or click **Cancel** to return to the previous screen.
5. Provide a signature for each filer on the list by repeating the same process.

You may edit your signature at any time, prior to upload to the USPTO, by following steps 1-4 above.

Error in Submission

During the final phase of submission in ePAVE (after clicking the final submit to PTO button) you may receive the following error message:

Files exceed the limit of 10 megs, save some files on a disk and mail to the PTO

An electronic submission cannot exceed 10 Megs. If you have images in your submission, it is possible that you did not compress the images, therefore creating a larger file and exceeding the limit.

If the problem is in the images, you will need to do the following to compress the images and submit your application:

1. Detach the specification XML from the attachments in ePAVE

2. Load the specification (s4w document) in PASAT and remove the figures section from the specification
   - Go to Tools/Edit Sections and deselect the Figures section (this will remove all figures)
   - Once the section and figures have been removed, go back to Tools/Edit Sections and reselect the figure section
3. Open each image in Windows Imaging (located under Start/Program Files/Accessories/Imaging)
4. For each image, click Page/Convert (or Properties depending on the version of Imaging the user has); proceed by selecting the appropriate image specifications:
   - File type: TIFF; Color: Black & White; Compression: Group 4; Resolution: 300x300 dpi
5. Once all image specifications are selected, save the image
6. Load their specification and add the newly created TIFF images.

You will need to view the specification in the browser again, validate the specification and export to XML. Once all of this has been done, you will be able to re-attach the specification XML in ePAVE.

Electronically Filing with the USPTO

There is a possibility that you will have to re-do your information in ePAVE. Occasionally, if you have gotten to the point during submission where ePAVE bundles and encrypts the package, you will be unable to edit the information. Electronically Filing with the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet. Follow these steps to begin the submission process:

1. If you are using a dial-up modem, double check that your Internet connection is still valid.
2. Click on the Send to USPTO button.

Figure 212:

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the profile and password that you designated when you created your digital certificate using the USPTO Direct security Software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

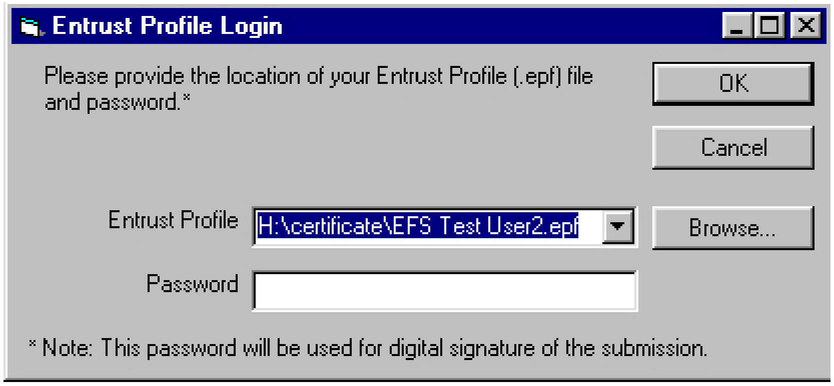
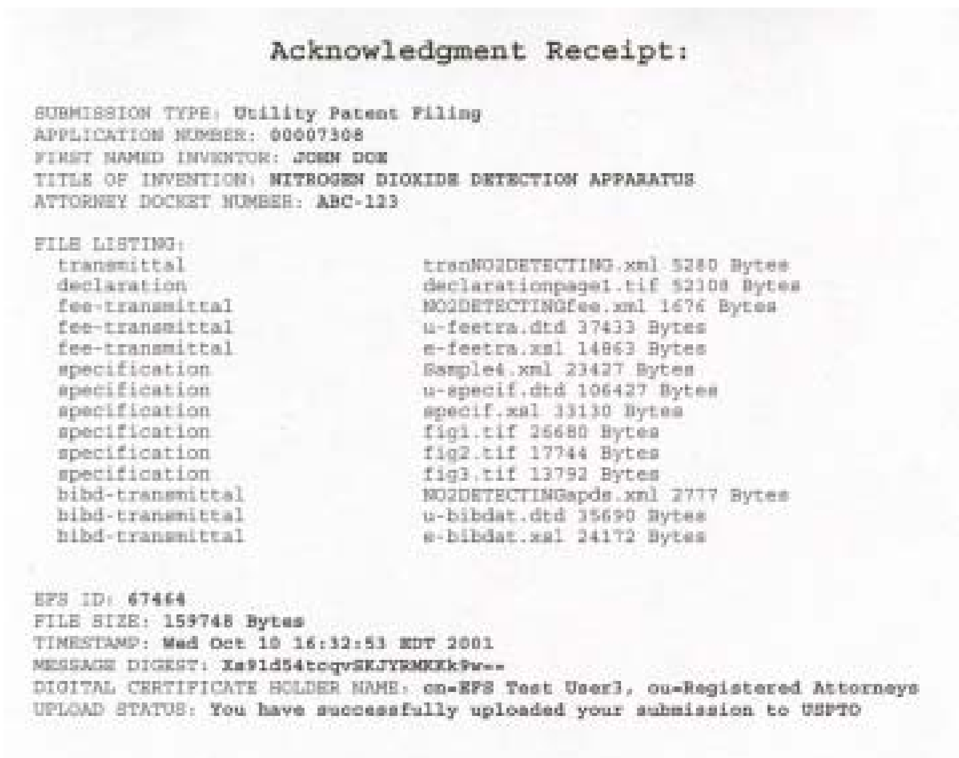


Figure 213: Entrust Profile Login

To authenticate the Digital Certificate and send your package:

1. Locate your profile by clicking on the **Browse** button.
2. Type in the password for that profile.
3. Click **OK** to authenticate the Digital Certificate and send your package.

Acknowledgement Receipt



Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:

transmittal	tranNO2DETECTING.xml 5280 Bytes
declaration	declarationpage1.tif 52308 Bytes
fee-transmittal	NO2DETECTINGfee.xml 1676 Bytes
fee-transmittal	u-feetra.dtd 37433 Bytes
fee-transmittal	e-feetra.xsl 14863 Bytes
specification	Sample4.xml 23427 Bytes
specification	u-specif.dtd 106427 Bytes
specification	specif.xsl 13130 Bytes
specification	fig1.tif 26680 Bytes
specification	fig2.tif 17744 Bytes
specification	fig3.tif 13792 Bytes
bibd-transmittal	NO2DETECTINGapds.xml 2777 Bytes
bibd-transmittal	u-bibdat.dtd 35690 Bytes
bibd-transmittal	e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKXk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO

Figure 214: Acknowledgement Filing Receipt

After the package has been transmitted to the USPTO, the server will date and timestamp the package, and verify that the contents of the package have not been altered using digital signature technology. It will also return a unique EFS Transaction ID, the date and time received at USPTO, and other pertinent information to ePAVE to make-up the Acknowledgement Receipt.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for New Utility Patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility Patent application.

If the print version of the New Utility Patent application filed using EFS is unreadable the applicant will be promptly notified by phone, fax or e-mail depending on the correspondence and application information provided by the applicant to USPTO. If subsequent filings are unreadable or usable, the applicant or practitioner will be sent a notification as is current practice.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Note: The application serial number for Biotechnology sequence listing filers is the same as provided on the General Tab.

Serial Number:
Displays the application (serial) number that was entered on the General Tab (biotechnology sequence listings and pre-grant publication submissions), or returned to ePAVE from EFS server (utility Patent application) after successful submission of New Utility Patent application filing.

First Named Inventor:
Displays the name of the first named inventor that was entered on the General Tab.

Title of Invention:
Displays the name of the title of the invention that was entered on the General Tab. You can not enter a mathematical formula or chemical formula as part of the title of invention.

File Listing:
Displays an itemized listing of all of the files that were included inside the submission package to the USPTO, including the file size.

EFS ID:
A unique ID number assigned by the USPTO server.

File Size:
The size of the encrypted and zipped package file received by the USPTO.

Timestamp:
The date and time the USPTO (from EFS server Timestamp) officially received the package.

Upload Status:
A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity was not verified as intact, an error message will appear.

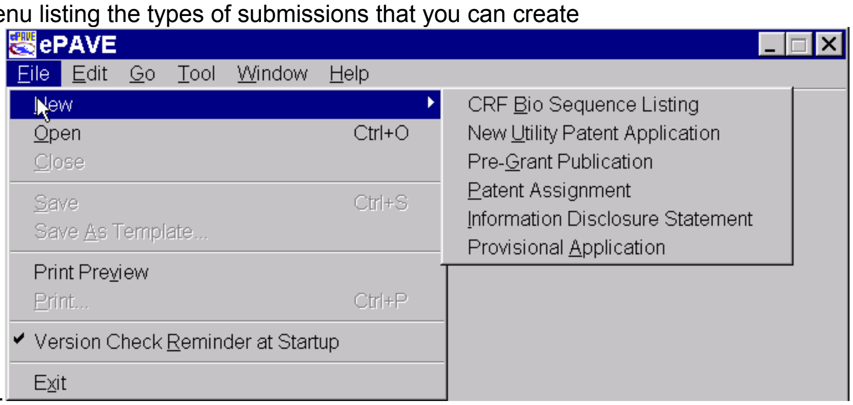
Response File .rsp:
This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

Creating an Information Disclosure Statement Submission for a Previously Filed Patent Application

Use the following procedure to begin creating an information disclosure statement submission:

1. Launch ePAVE by clicking on the ePAVE icon on your desktop, or by double-clicking ePAVE.exe.
ePAVE launches and the ePAVE window appears on your computer.

2. Go to the File menu and select New.
A submenu listing the types of submissions that you can create appears.



3. Choose IDS from the submenu.
The New Submission window appears.

4. Enter the name that you want to use to identify the submission folder for your new submission in the Submission Folder field. You can also specify the location of this folder by browsing in the directory on the left side of the window.

NOTE: You can not begin creating a new submission unless you have created a new folder for that submission and related documents.

5. Click **OK**.
ePAVE creates a new submission folder where all forms and attachments related to this submission are stored, and opens the tab screens that you will use to complete your Information Disclosure Statement (IDS) submission.

6. Complete the required fields on each of the tab screens that are shown in the ePAVE window—**General**, **Filer**, **Forms**, **Attachments**, **Certificate of Transmittal**, **Validation**, **Comments**, and **Submit**.
For details about each of these screens, see the following sections.

General Tab

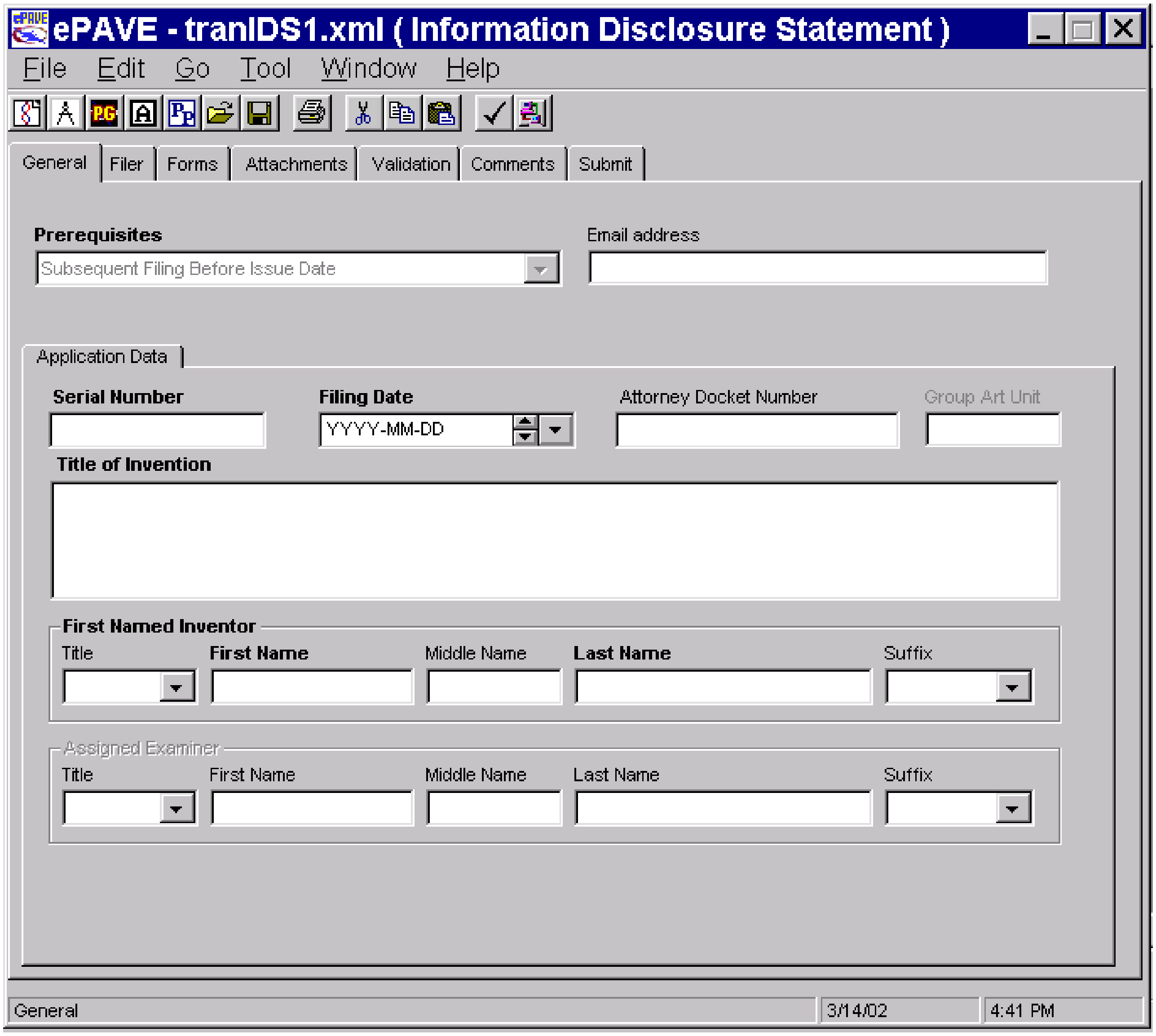


Figure 215: General Tab

The first cursor on the General tab for an information disclosure statement for a previously filed application will appear in the Email Address text field since this is the starting point for entering application information on this tab screen.

The Prerequisites selection for an information disclosure statement is automatically entered on the General tab screen.

Type in the requested information and then proceed to the Filer Tab.

Table 43: Fields and Buttons on the General Tab.

Field	Action	Required or Optional
Email address	Enter a primary Internet e-mail (electronic mail)address that the	Optional

Field	Action	Required or Optional
	USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address.	
Serial Number	For information disclosure statement submissions filed as subsequent filings, enter the application (serial) number that was assigned to the corresponding patent application by the USPTO.	Required
Filing Date	For information disclosure statement submissions, enter the official (actual) filing date that was granted to the corresponding application by the USPTO.	Required
Attorney Docket Number	Enter the reference number that you want to use to identify your application. This number is not assigned by the USPTO, and can be any number of your choice.	Optional
Group Art Unit	Enter the group art unit where the application is being examined.	Optional
Title of Invention	Enter the full title of the patent application for which you are submitting this filing. Include all spaces and punctuation.	Required
First Named Inventor	Enter the name of the inventor that is listed first in the declaration of the Patent application for which you are filing this submission.	Required
Title	Enter a courtesy title for the First Inventor, such as Mr., Mrs., Ms., Dr., etc.	Optional
First Name	Enter the first or given name of the First Inventor.	Required
Middle Name	Enter the middle name of the First Inventor.	Optional
Last Name	Enter the family or surname of the First Inventor.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the First Inventor.	Optional

Filer Tab

The following figure shows the **Filer** tab, which is the screen where ePAVE requests information about the person or entity that signs the transmittal.

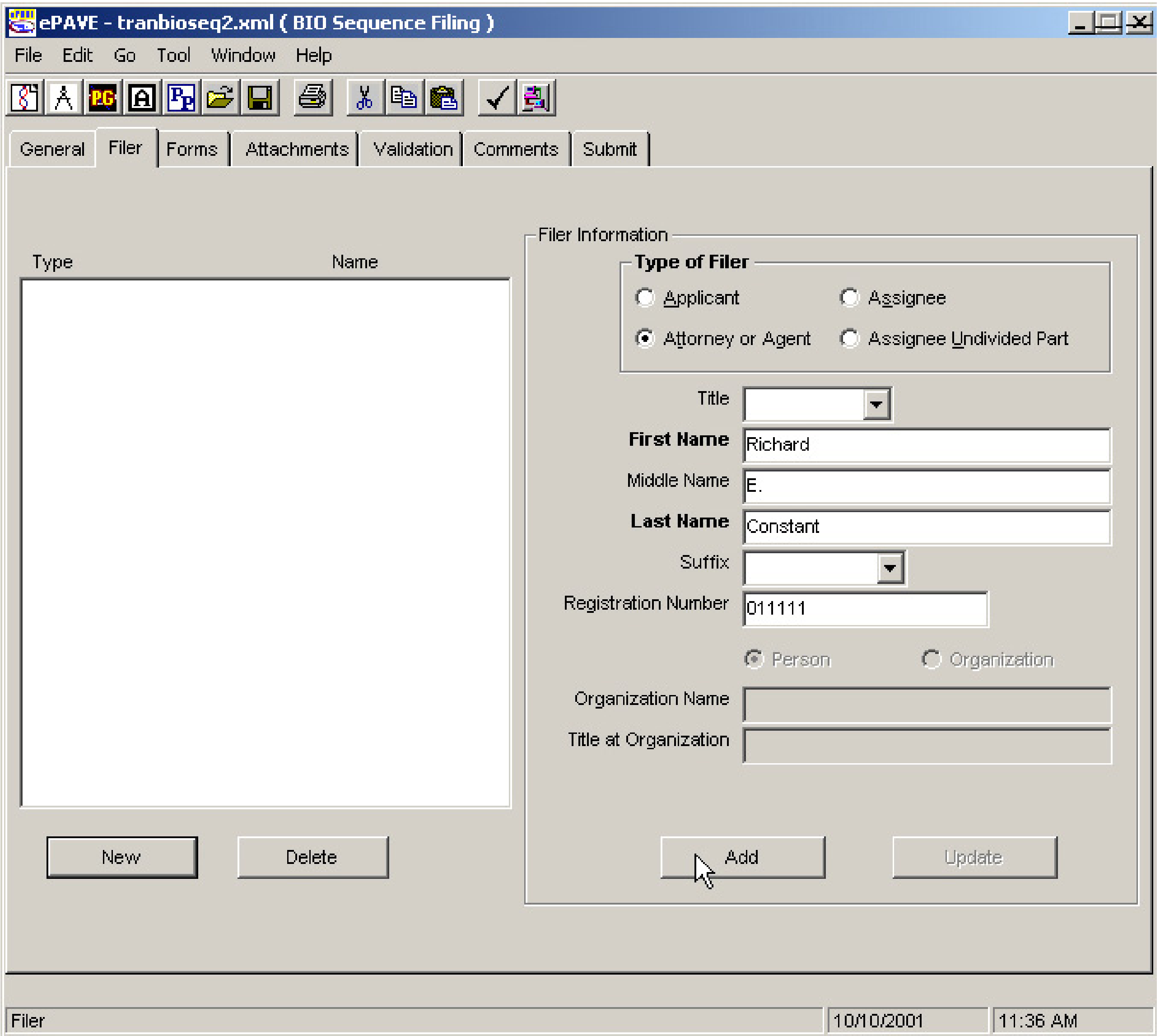


Figure 216: Filer Tab

The fields on this screen vary depending on the type of filer that you specify. The filer information that you enter on this screen becomes part of the transmittal form that ePAVE automatically produces as an XML form document.

In accordance with 37 CFR 1.33(b), the filer or filers can be attorneys or agents, applicants, or assignees. Assignees are people or organizations who sign the transmittal on behalf of another party. If you are filing as an organization, you must also provide the Organization name and the Title at Organization of the person signing the application.

The following combinations of filers are acceptable: 1 or more attorney(s) or agent(s), 1 assignee only, 1 or more applicant(s) and assignee(s) of undivided part.

Fields and Buttons on the Filer Tab

The following table lists the fields and buttons on the **Filer** tab, and also describes the information that you must enter into each field and the function of each button.

Table 44: Fields and Buttons on the Filer Tab

Field or Button	Action	Required or Optional
New	Click this button to clear all of the fields on the **Filer** screen and begin creating a new filer.	N/A
Delete	Click this button to delete a filer after you highlight that filer in the list of filers.	N/A
Applicant	Click this button to identify the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47.	Required - you must select one of these radio buttons.
Assignee	Click this button to identify the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Attorney or Agent	Click this button to identify the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).	
Assignee Undivided Part	Click this button to identify the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.	
Title	Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc., for the filer.	Optional
First Name	Enter the first or given name of the filer.	Required
Middle Name	Enter the middle name of the filer.	Optional
Last Name	Enter the family or surname of the filer.	Required
Suffix	Enter a generational title such as Jr., Sr., III, etc., for the filer.	Optional
Registration Number	Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s).	Optional
Person	Select this option if the assignee filing this transmittal is a person.	Required only when the Filer is identified as an Assignee. You must select either **Person** or **Organization**.
Organization	Select this option if the assignee filing this transmittal is a business entity or non-profit institution.	

Field or Button	Action	Required or Optional
Organization Name	Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution.	**Organization**. **Organization Name** and **Title at Organization** are required fields when the **Assignee** is an organization.
Title at Organization	Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization.	
Add	Click this button to add the new filer after you have completed the fields on the **Filer** screen.	
Update	Click this button to update the **Filer** information.	

Creating a New Filer

Use the following procedure to create a new **Filer**:

1. Click the Filer tab to go to the Filer screen.
ePave opens the Filer screen.

2. Select the type of filer by clicking the appropriate radio button in the Type of Filer section.
ePAVE deactivates any fields that are not required for the type of filer that you have selected.

3. Complete the remaining fields in the Filer Information section. For more information about these fields, ***see*** ***Fields and Buttons on the Filer Tab***.

NOTE: If the new filer is an Assignee or Assignee Undivided Part, you must also select either Person or Organization from the appropriate radio buttons to indicate whether this assignee is an actual person or a business or non-profit entity.

4. Click the Add button.
The filer is added to the list of filers shown on the left side of the screen.

5. Repeat Step 2 through Step 4 for any additional filers.

The following figure shows the **Filer** tab after a new filer has been added.

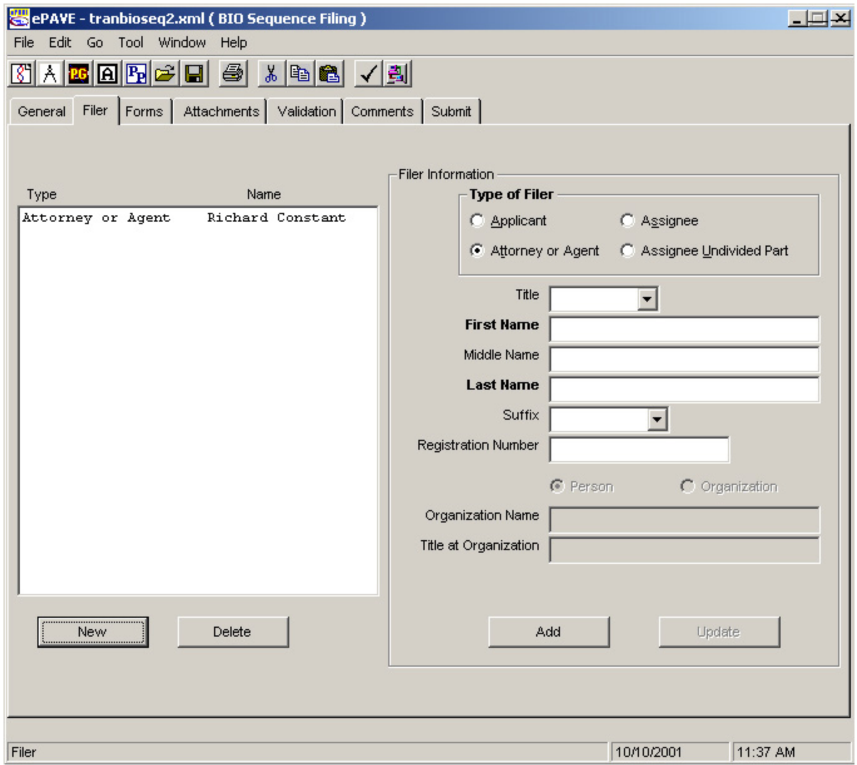


Figure 217: Updated Filer Tab

Changing Filer Data

ePAVE allows you to change the filer information for filers that you have already added. Use the following procedure to change filer information:

1. Go to the Type/Name field, and click the name of the filer that you want to edit. The current information for the selected filer appears in the Filer Information fields.

2. Enter any changes in the appropriate fields.

3. Click the Update button to update the filer information with your changes.

Deleting a Filer

ePAVE allows you to remove filers from the list of filers. Use the following procedure to remove a filer:

1. Click the name of the filer that you want to delete in the filers list, shown in the Type/Name field on the left side of the screen.

2. Click the Delete button. The filer is removed from the list of filers, and all of the information about this filer is deleted.

Forms Tab

The following figure shows the **Forms** tab, which has two sections—**Form Description and Usage** and **Simple Form List**. The **Form Description and Usage** section displays text that describes the selected form and its intended use. The **Simple Form List** section of the screen shows all forms that are available for electronic filing in the **Available Forms** list, and shows forms in the EFS submission folder that you have selected to send to USPTO during your electronic filing transaction in the **Selected Forms** list.

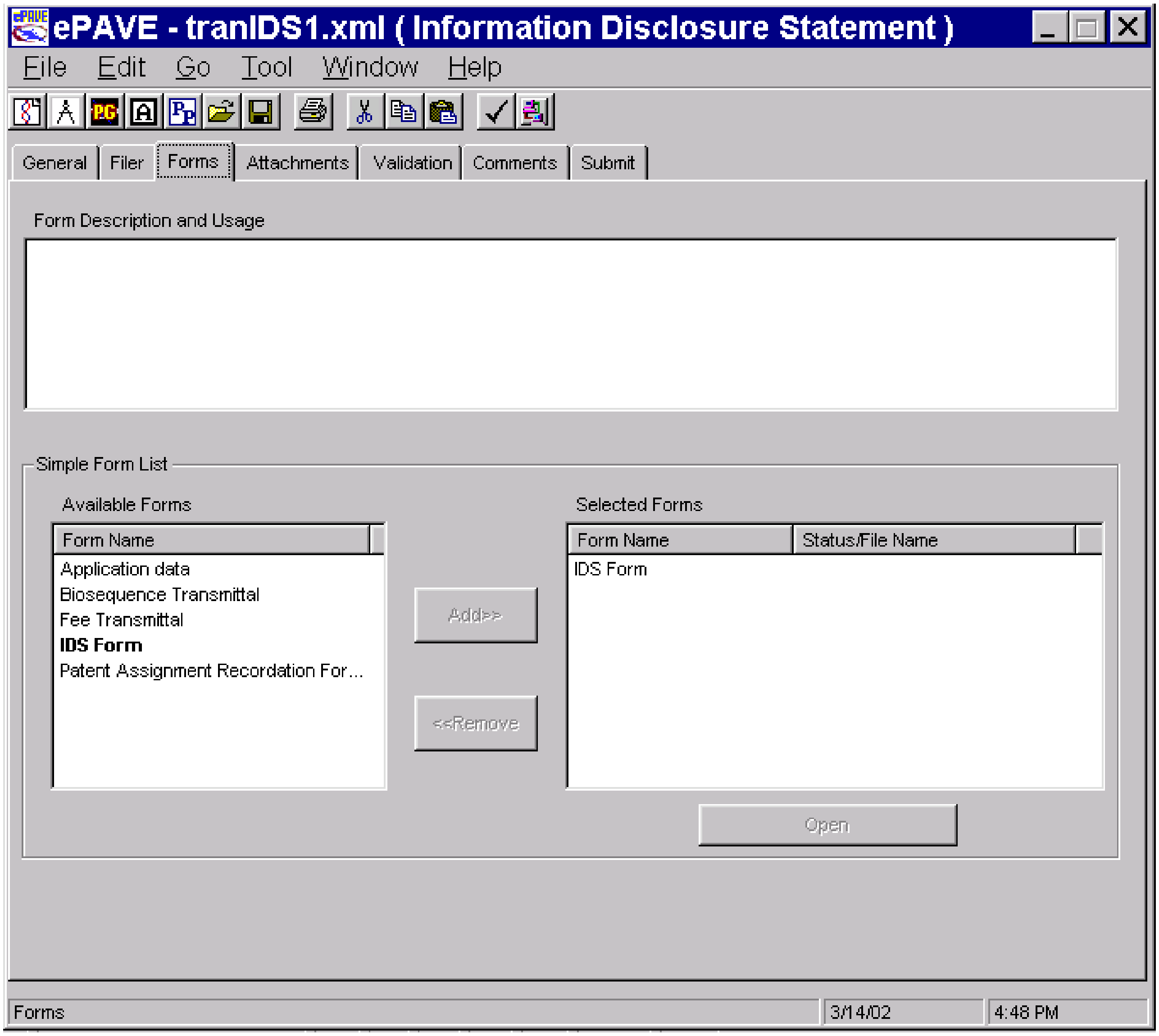


Figure 218: Forms Tab

Since you are filing a Information Disclosure Statement, the Information Disclosure Statement form is required and is therefore shown in bold letters in both the **Available Forms** and **Selected Forms** lists. When a form title appears in bold letters, it indicates that the form is required for the type of patent application submission electronic filing you are creating. When you click on the name of a form in either the **Available Forms** list or **Selected Forms** list, a description of the form and its usage appear in the **Form Description and Usage** text display box.

Fields and Buttons on the Forms Tab

The following table lists the fields and buttons on the **Forms** tab, and also describes function of each field and button.

Table 45: Field and Buttons on the Forms Tab

Field or Button	Action or Function	Required or Optional
Form Description and Usage	This field displays a description of a form when you highlight the form in the **Selected Forms** field or the **Available Forms** field.	N/A
Available Forms	This field lists all of the forms that are available for the type of application you are creating. Click on the name of a form to view a description of the form in the **Form Description and Usage** field.	N/A
Selected Forms	This field lists all of the forms that you have selected from the **Available Forms** list, and also lists any forms that are required for the type of application you are submitting.	N/A
Add	Click this button to add a form listed in the **Available Forms** list to the **Selected Forms** list.	N/A
Remove	Click this button to remove a form from the **Selected Forms** list.	N/A
Open	Click this button to open the form that you have highlighted in the Selected **Forms** list.	N/A

Adding a Form

Use one of the following procedures to add a form to the **Selected Forms** list:

1. Click on the name of the form that you want to add in the Available Forms list.

2. Click the Add button.
   The form is added to the Selected Forms list.

   OR

1. Double-click the name of the form that you want to add in the Available Forms list.
   The form is added to the Selected Forms list.

Completing the Information Disclosure Statement Form

Up to 50 U.S. patent and 50 U.S. published patent application citations may be included on each Information Disclosure Statement filed via EFS. Paper copies of U.S. patents and published applications are not required for electronically submitted Information Disclosure Statements as outlined in the EFS Legal Framework. The Examiner will be provided with a mechanism for accessing these documents electronically. Timely filed paper copies of foreign patent documents and non-patent literature must still be provided for consideration by the Examiner.

Completing the IDS Certification

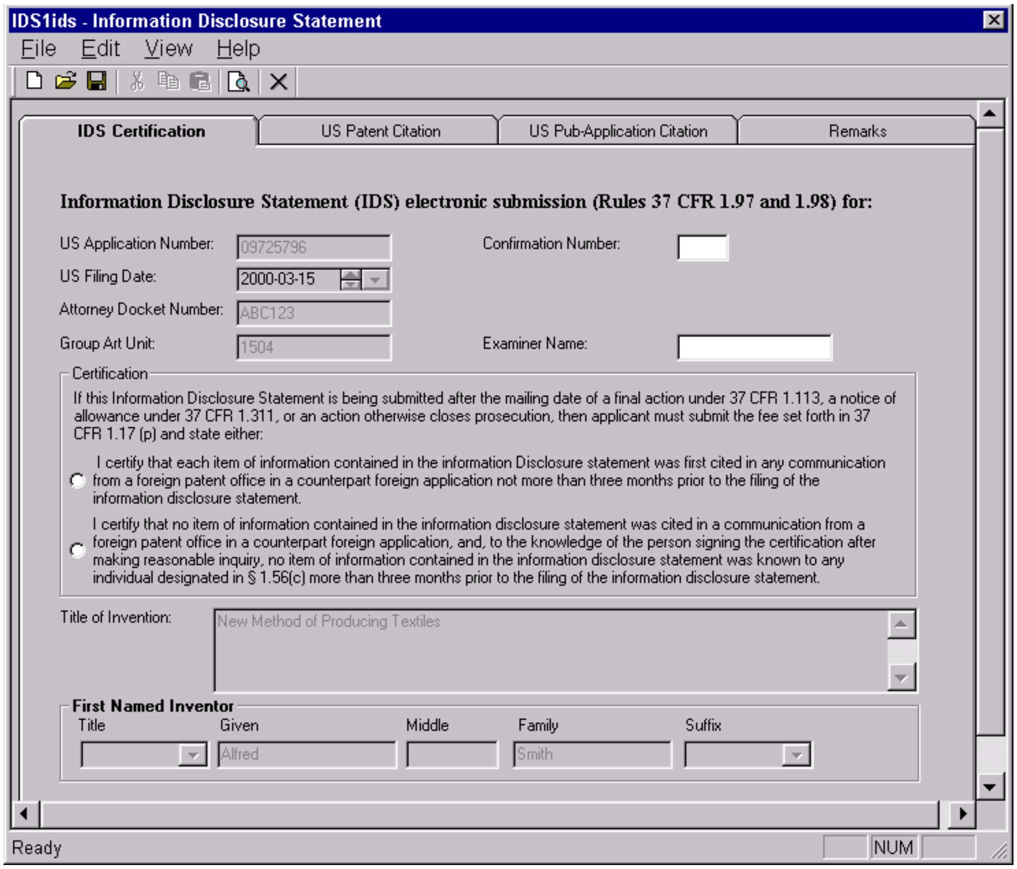


Figure 219: IDS Certification Screen

1. Enter the Confirmation number of the application in the Confirmation Number field. (Required)

2. Enter the name of the assigned Examiner in the Examiner Name field. (Optional)

Certification Statements:

37 CFR 1.97 and 1.98 outline the requirements for information disclosure statements.

Those Rules are listed below:

INFORMATION DISCLOSURE STATEMENT

§1.97 Filing of information disclosure statement.

(a) In order for an applicant for a patent or for a reissue of a patent to have an information disclosure statement in compliance with § 1.98 considered by the Office during the pendency of the application, the information disclosure statement must satisfy one of paragraphs (b), (c), or (d) of this section

(b) An information disclosure statement shall be considered by the Office if filed by the applicant within any one of the following time periods:

(1) Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);

(2) Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;

(3) Before the mailing of a first Office action on the merits; or

(4) Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.

(c) An information disclosure statement shall be considered by the Office if filed after the period specified in paragraph (b) of this section, provided that the information disclosure statement is filed before the mailing date of any of a final action under §1.113, a notice of allowance under § 1.311,or an action that otherwise closes prosecution in the application, and it is accompanied by one of:

(1) The statement specified in paragraph (e) of this section; or

(2)The fee set forth in § 1.17(p).

(d) An information disclosure statement shall be considered by the Office if filed by the applicant after the period specified in paragraph (c) of this section, provided that the information disclosure statement is filed on or before payment of the issue fee and is accompanied by:

(1) The statement specified in paragraph (e) of this section; and

(2) The fee set forth in § 1.17(p).

(e) A statement under this section must state either:

(1) That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

(2) That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.

(f) No extensions of time for filing an information disclosure statement are permitted under § 1.136.

If a *bona fide* attempt is made to comply with § 1.98, but part of the required content is inadvertently omitted, additional time may be given to enable full compliance.

(g) An information disclosure statement filed in accordance with section shall not be construed as a representation that a search has been made.

(h) The filing of an information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b).

(i) If an information disclosure statement does not comply with either this section or § 1.98, it will be placed in the file but will not be considered by the Office.

3. No certification is required if the IDS is being submitted in the time period specified in 37 EFS 1.97(b). Move on to the next tab.

4. If the IDS is being submitted in the time period specified in 37 CFR 1.97(c) and one of the two certifications can be made, that certification should be checked. If the certification cannot be made, the fee outlined in 37 CFR 1.17(p) is due. Include a fee transmittal in this case.

5. If the IDS is being submitted in the time period specified in 37 CFR 1.97(d) one of the two certifications must be made and the fee outlined in 37 CFR 1.17(p) must be paid. Include a fee transmittal in this case.

Citing a US Patent on the IDS

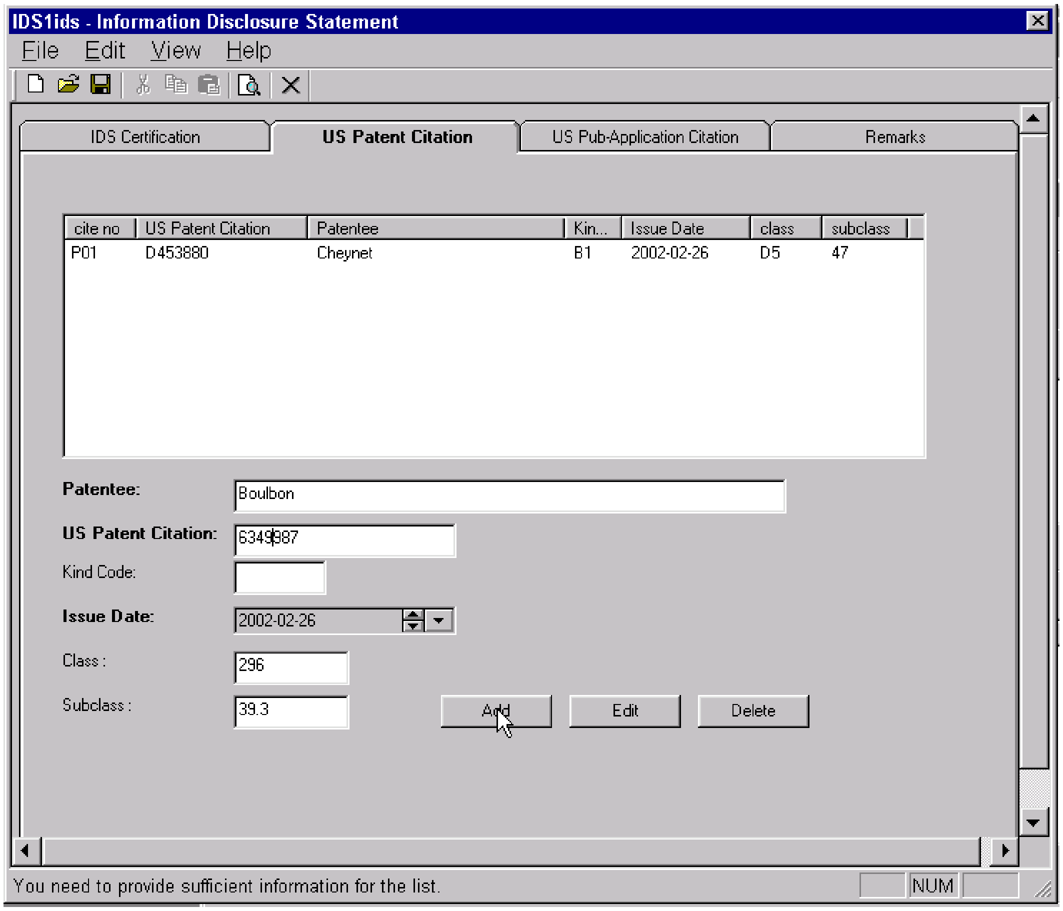


Figure 220: US Patent Citation Screen

To input a US patent citation:

1. Enter the patentee name in the Patentee field. (required)

2. Enter the US Patent number in the US Patent Citation field. (required)

3. Enter the Kind Code of the US patent in the Kind Code field. (optional)

A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16. This provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins:

- Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication
- New -utility A1 (published document)
- Note:(not accepting new utility plant applications via EFS at this time)
- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the issue date of the US patent in the Issue Date field. (required)

5. Enter the class and subclass where the patent is classified in the US patent classification in the class and subclass fields. (optional)

6. Click the **Add** button to add the US patent to the list of citations.

7. Repeat for each additional US. Patent. Up to 50 U.S. patents may be cited on each IDS.

To edit a citation highlight the Patent in the list. The previously entered data will appear in the fields. Edit the data and click the **Edit** button to return the citation to the list.

To delete a citation, highlight the patent in the list and click the **Delete** button.

Citing a Published US Patent Application on the IDS

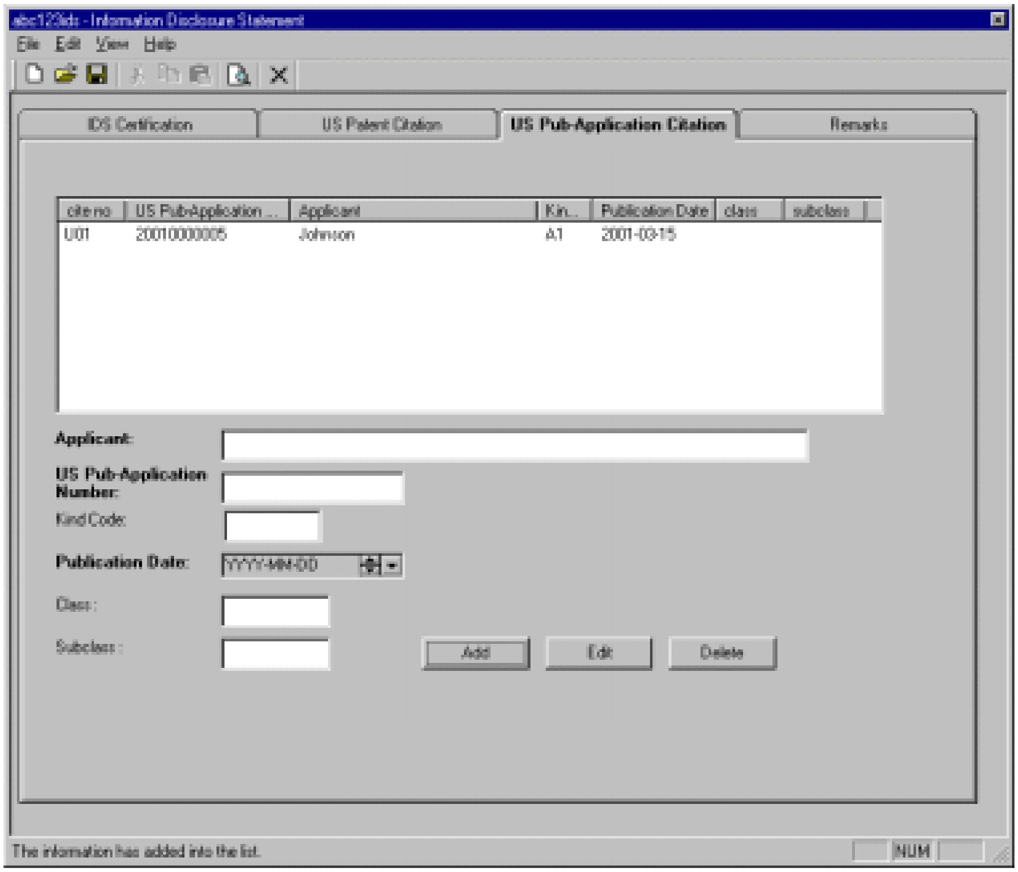


Figure 221: US Published Application Citation Screen

To input a US published patent application citation:

1. Enter the name of the published applicant in the Applicant field. (required)

2. Enter the US published patent application number in the US Pub-Application Number field. (required)

3. Enter the Kind Code of the US published patent application in the Kind Code field. (optional)

A Kind Code is a recommended standard code for the identification of different kinds of published Patent documents. The World Intellectual Property Organization (WIPO) published Standard 16. This provides for groups of letter codes in order to distinguish Patent documents published by industrial property offices. The letter codes also facilitate the storage and retrieval of such documents. Published Patent documents have Kind Code notation.

Examples of Kind Code entries that will be updates to WIPO Standard 16 for U.S. Patent Documents after Pre-grant application begins:

- Publication filing type/Kind Code for Utility or Plant Kind of Patent document publication
- New -utility A1 (published document)
- Note:(not accepting new utility plant applications via EFS at this time)

- Voluntary (filed before Nov 29, 2000) A1 P1 (for plant application to be published)
- Original-publication-amended A1 P1
- Original-publication-redacted A1 P1
- Republication-amended A2 P4
- Republication-redacted A2 P4
- Corrected A9 P9

4. Enter the publication date of the US published patent application in the Publication Date field. (required)

5. Enter the class and subclass where the published patent application is classified in the US patent classification system in the class and subclass fields. (optional)

6. Click the **Add** button to add the US published patent application to the list of citations.

7. Repeat for each additional US published patent application. Up to 50 U.S. published patent applications may be cited on each IDS.

To edit a citation highlight the published application in the list. The previously entered data will appear in the fields. Edit the data and click the **Edit** button to return the citation to the list.

To delete a citation, highlight the published application in the list and click the **Delete** button.

Including Remarks in the IDS

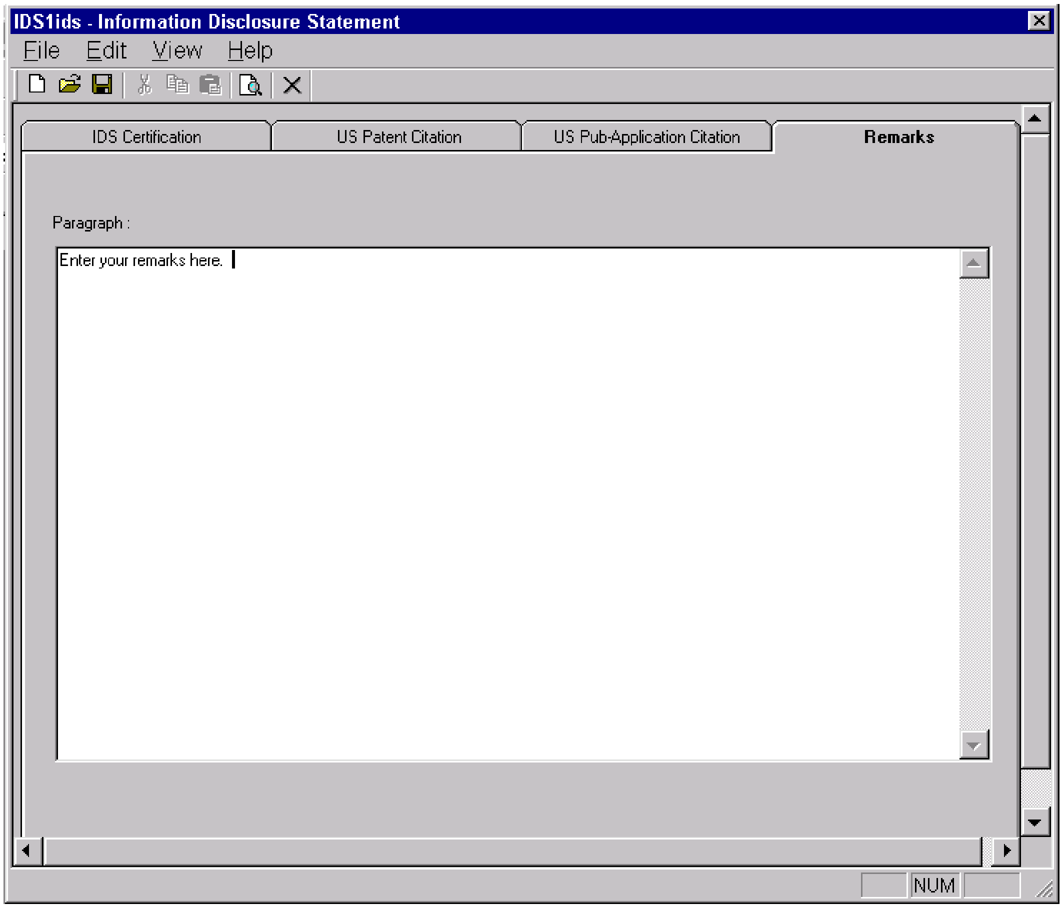


Figure 222: Remarks Screen

Enter any remarks you wish to have considered, such as statements of relevance in the Paragraph field.

This field is NOT for entering a response to an Office action.

Completing a Fee Transmittal Form

Use the following procedure to complete a **Fee Transmittal** form if required by 37 CFR 1.97:

1. Click on Application Data in the Selected Forms list.

2. Click the Open button.

Filer Status Tab

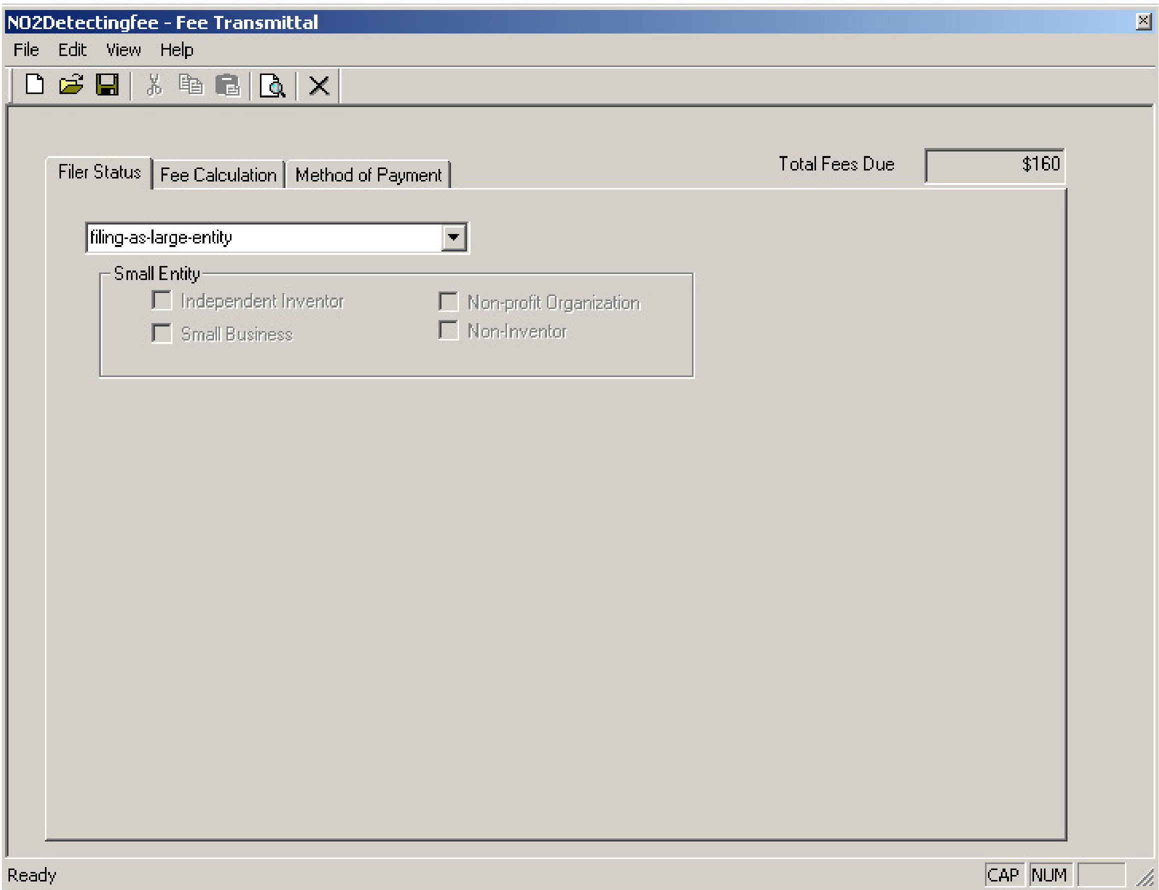


Figure 223: Fee Transmittal Screens - Filer Status Tab

Select the filer status from the drop down list. The Filer Status is defined by the classification of the person or entity filing the Patent. This is important, as it determines which schedule to use for fee calculation for provisional applications. A small entity is either an independent inventor, a small business, a non-profit organization, and/or a non-inventor.

Select either **Filing-as-small-entity** or **Filing-as-large-entity**.

If filing-as-small-entity is selected, two more pieces of information are required. At the bottom Filer Status drop-down box are 4 checkboxes. Select any or all of the ones that apply to the filer.

Fee Calculation Tab

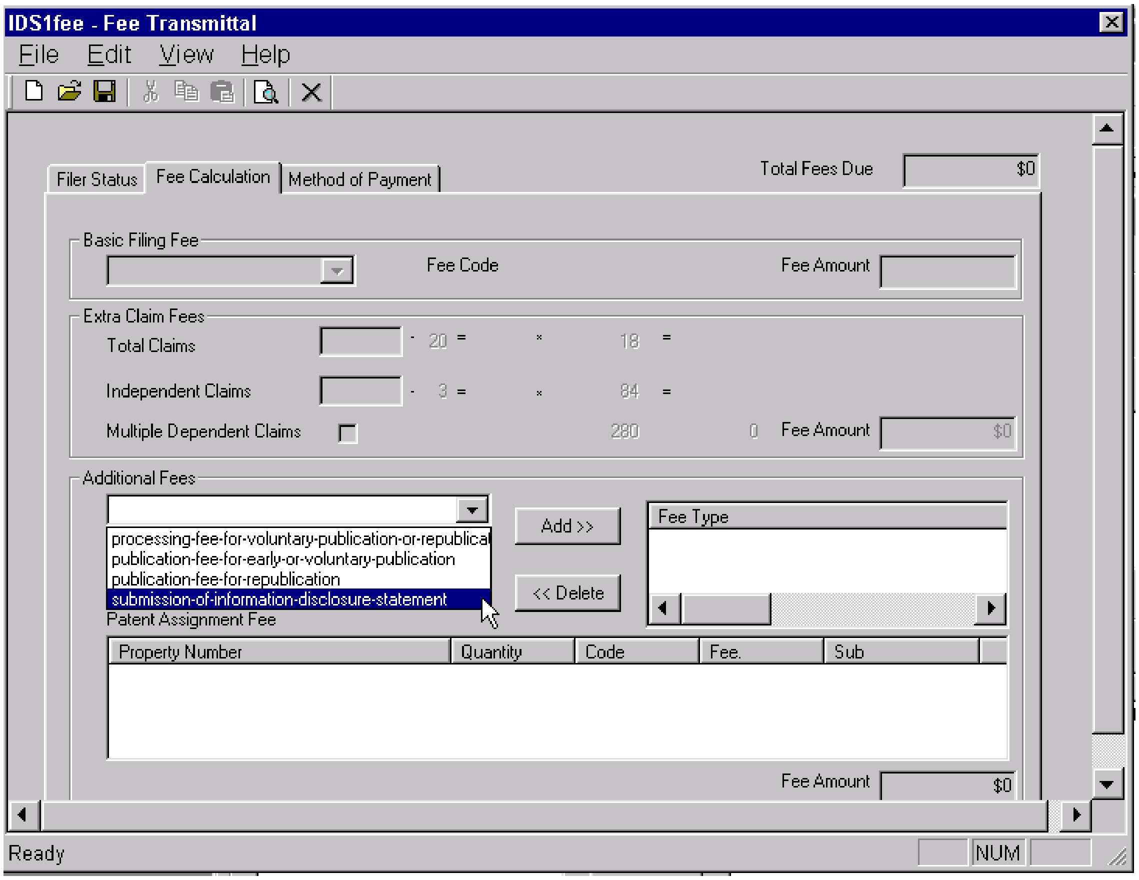


Figure 224: Fee Transmittal Screens - Fee Calculation Tab

The Fee Calculation tab is where the fees associated with the submission are calculated.

If the submission requires the fee required by 37 CFR 1.97(c) or (d) select that fee from the Additional Fees list.

Click on the **Add** button to indicate that selected fee is due. The Fee code, amount of the fee and a description will appear in those fields.

To delete a Fee type, highlight that Fee in the Fee Type field and click **Delete**.

Method of Payment Tab

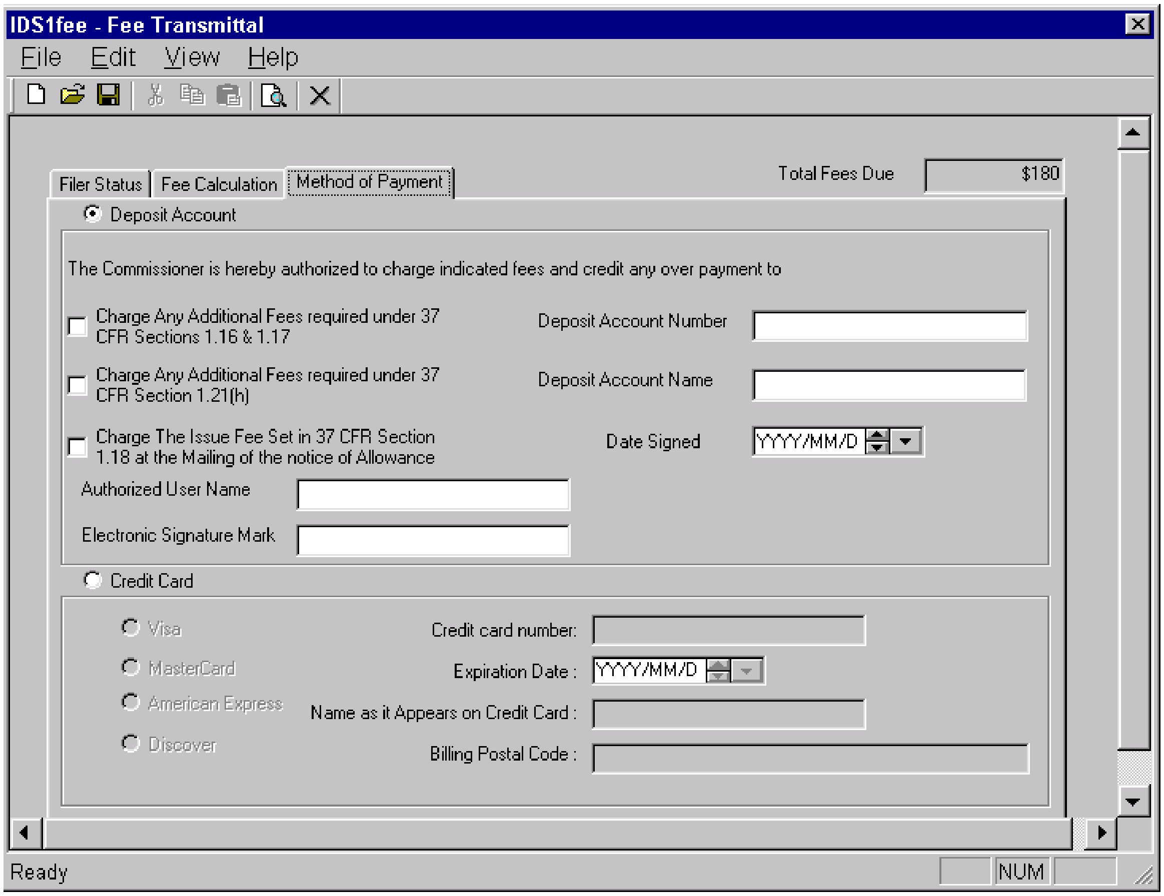


Figure 225: Fee Transmittal Screens - Method of Payment Tab

1. Select the payment method by clicking either the **Deposit Account** or **Credit Card** radio button. This provides the information the USPTO needs to collect the applicable fees for the Patent submission.

2. If you select **Deposit Account** as your payment type you may authorize USPTO to charge additional fees (as allowed by CFR sections cited next to each button) not calculated on this sheet at the time of submission by checking the checkboxes provided.

3. Enter Deposit Account Number & Name of the account that is to be charged by the USPTO. These fields are required for Deposit Account transactions.

4. Enter the name of the individual who is authorized to sign for use of deposit account, as well as the electronic signature of the authorized user in the fields provided for that data.

5. If you select **Credit Card** payment, indicate the card type by clicking on the radio button associated with it.

6. Enter the Credit card number, expiration date, the Name on the Credit Card and the Billing Address in the fields provided. The Deposit Account or Credit Card will be charged the amount that appears in the Total Fees Due field in the upper right-hand corner of the screen.

The Fee XML file will be created when the Fee Tab is closed.

Saving a Form

Save the form by clicking on the x icon or by clicking the x in the upper right hand corner. You will be prompted to indicate if you wish to save the form. Click OK to save the form.

Removing a Form

Use the following procedure to remove a form from the **Selected Forms** list:

1 Click on the name of the form in the **Selected Forms** list that you want to remove.

2 Click the **Remove** button.
The form is removed from the **Selected Forms** list.

You can remove any form listed in the Selected Forms box from the submission, but if you remove a recommended/required form you may cause validation errors.

If you have already saved the form, which automatically attaches it to the electronic submission package, you must also remove the form from the electronic package after you remove it from the Selected Forms list. To completely remove the form from the submission, select the Attachments tab, select the form again, and then click the REMOVE button. For more information about this procedure, see ***Removing a File on page 50.***

Attachments Tab

Fields and Buttons on the Attachments Tab

The following table explains the fields and buttons on the **Attachments** tab, and also explains the function of each field or button:

Table 46: Fields and Buttons on the Attachments Tab

Field or Button	Action or Function	Required or Optional
Transmission Documents	This field identifies all of the documents that are attached to your submission package. You can browse through the directories to locate a specific file.	N/A
Attach	Click this button to attach a file to the submission package. For more information about this procedure, see ***Attaching a File on page 50***.	N/A
Remove	Click this button to remove a file from the submission package. For more information about this procedure, see ***Removing a File on page 50.***	N/A
View	Click this button to view The **View** button located under the **Remove** button on the Attachments tab screen is used to view the XML documents using EFS USPTO standard style sheets	

Field or Button	Action or Function	Required or Optional
	and XML View web browser based capability. Within the View capability you will be able to print the active document displayed.	
Selected Document's Details	This field shows detailed information about any form that is selected in the **Transmission Documents** field, including file name, file size, date/time, and document type.	
Transmittal XML	This field shows the location of the Transmittal XML document.	

EPAVE will automatically attach your information disclosure statement and any fee transmittal.

Removing a File

Use the following procedure to remove a file from the submission package:

1 Select the file you want to remove. The entire file should be highlighted blue on the screen.

2 Click the **Remove** button to remove the attachment.

NOTE: To re-attach a document that you have removed from the submission package, you must go back to the Forms tab and re-select the form you removed, and then go to the Attachments tab and re-attach the form.

Viewing and Printing Your Submission

Use the following procedure to view and/or print the **Submission Transmittal Form**:

1 Select **Print Preview** from the ePAVE **File** menu. This allows you to view the form on the screen.

2 Click the **Print** button to print the form to your default printer.

Validation Tab

The **Validation** tab provides an automatic validation of your submission to identify any errors before you send your submission to the USPTO. You can manually validate the submission at any time by clicking on the **Validate** button or by clicking the check mark icon on the ePAVE tool bar.

You can print a list of current errors at any time during the authoring stage of the submission process.

ePAVE's validation messages are produced by a computer validation program that reads the XML-tagged data that you are submitting. The error messages that ePAVE provides identify specific errors in your submission.

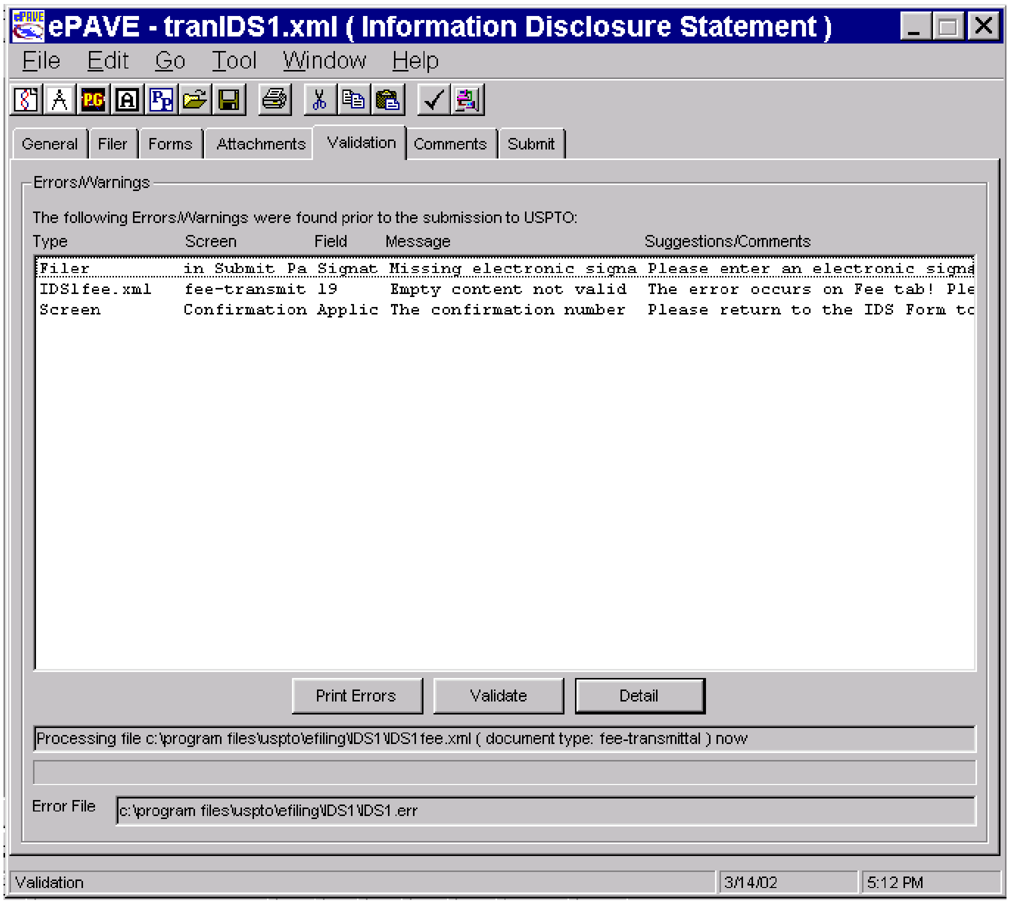


Figure 226: Validation Tab

Fields and Buttons on the Validation Tab

The following table explains the fields and buttons on the **Validation** tab:

Field or Button	Action or Function	Required or Optional
Type	This column shows the type of error.	
Screen	This column shows the screen where there error occurs.	
Field	This column identifies the specific field where the error occurs.	
Message	This column shows the error message related to this error.	
Suggestions/Comments	This column provides instructions for correcting the error.	
Print Errors	Click this button to print the list of errors to your default printer.	
Validate	Click this button to validate your submission. EPAVE returns a list of errors in the field above.	
Detail	Click this button to view the details of the selected error. You can also double-click the error to view its details. The Error Message Detail window provides additional instructions on how to correct the error..	

Field or Button	Action or Function	Required or Optional
Errors File	This field shows the location where the errors file is stored.	

Validating your Submission

Use the following procedure to validate your submission:

1 Verify that your computer is connected to the Internet. You must be connected to the Internet before you can validate your submission.

2 Click the **Validate** button.
ePAVE validates your submission and lists any errors that it identifies during this process in the **Errors/Warnings** field.

3 Double-click on an error that is listed in the field, or select an error and click the **Detail** button.
The **Error Message Detail** window appears, providing additional information about the error and instructions for correcting the error.

4 Correct the error as suggested in the **Error Message Detail** window.

5 Repeat **Step 3** for each error.

6 Click the **Close** button or the **X** at the top of the page when you are finished.
The **Error Message Detail** window closes, and you return to the **Validate** tab.

7 Click the **Validate** button to revalidate your corrected submission.

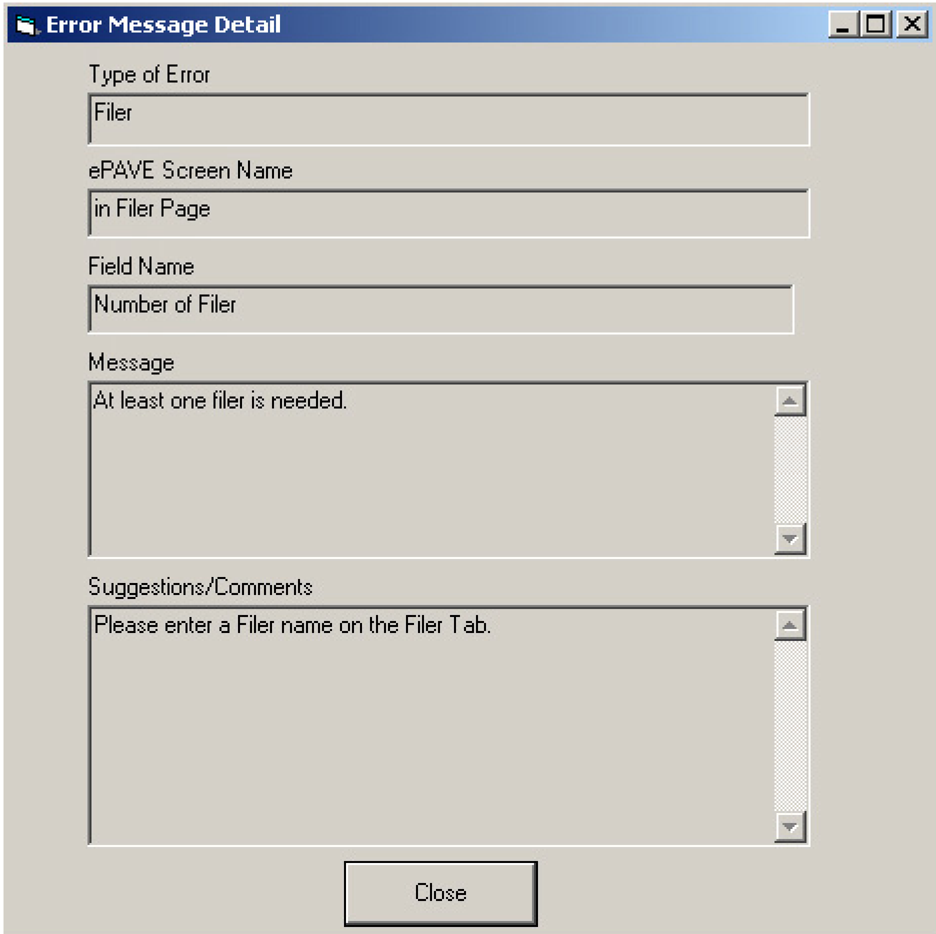
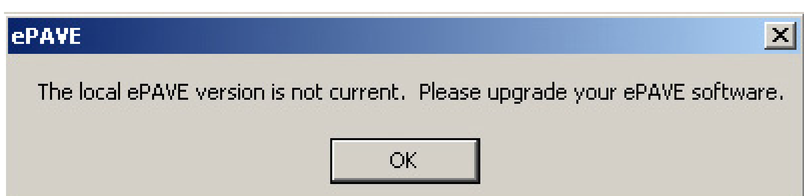


Figure 227: Error Message Detail

Common Validation Errors

If you attempt to use a version of ePAVE that is not the most current version available, you will receive an error message during validation that is similar to the following messages:



Or

This XML files DTD does not match any server's. Please check if you need to update your DTD

If you receive one of these error messages during validation, go to the EFS website that is accessible from www.uspto.gov and download the latest ePAVE software. You can check your version by going to the **Help** menu in the ePAVE interface and selecting **About ePAVE**.

Printing Identified Errors

Use the following procedure to print a list of the errors that ePAVE identified during validation:

1 Click the **Print Errors** button.
The list of errors that ePAVE identified during validation are printed on your default printer.

Comments Tab

The **Comments** tab contains a text box where you can author any additional comments that you want to include on your XML transmittal. For example, if you are filing a pre-grant publication to correct errors in a previous publication, you should indicate what changes you are submitting for republication. For a subsequent filing, such as the CRF biotechnology sequence listing submission or the new utility Patent application submission, you should include any detailed information about the Patent application that you are filing that is not already contained in the documents and forms attached to your submission.

The following examples show are notations for citing corrections made to a publication submission. You must identify the INID code, drawing page, paragraph number, or claim number. You can also include the title of the application, although it is also captured on the transmittal form.

Example 1: Correction Information: Correction of US 2001-0029557 A2 Mar. 1, 2001

Example 2: Correction Information: Correction of US 2001-0019557 A2 Mar. 1, 2001 See Drawing Figures 3 and 4; See (3) Foreign Application Priority Data, See Paragraphs 27,42,98, and 103.

Another instance where you would use the **Comments** tab is when you are filing a pre-grant publication redacted application via EFS to indicate that you have met the concurrent paper requirements of the new rule 1.217(c).

The following figure shows the **Comments** tab:

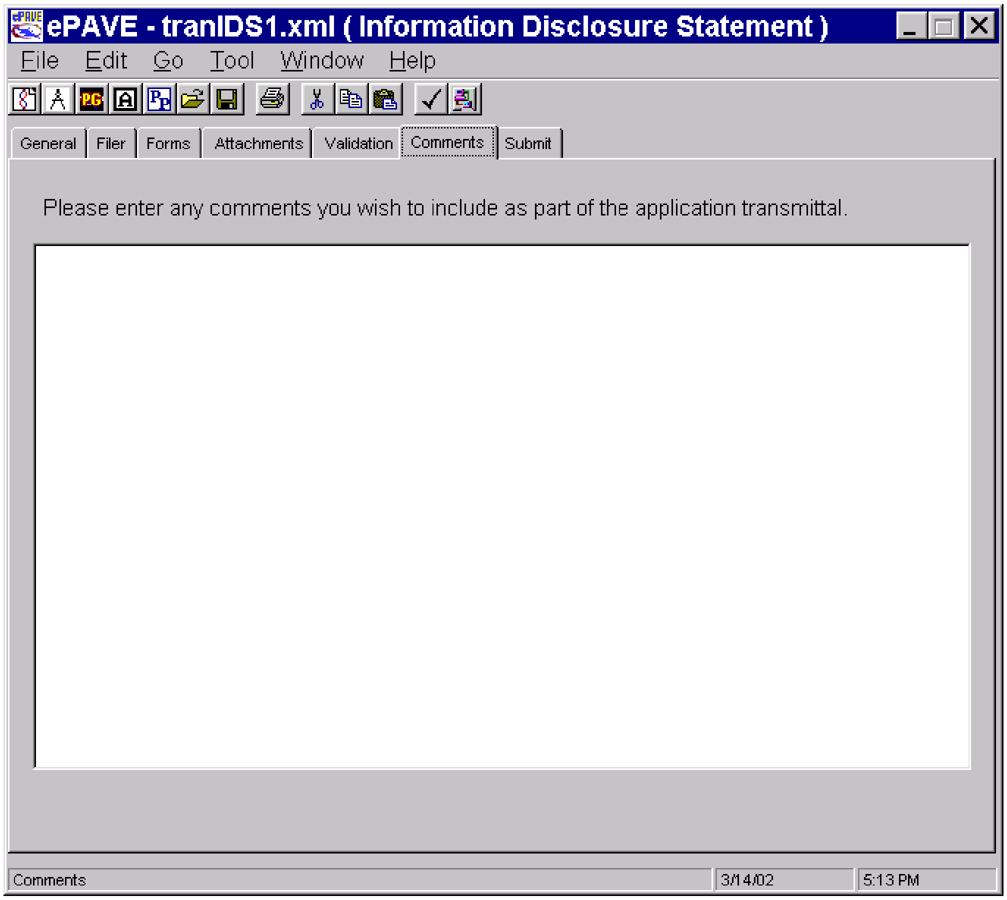


Figure 228: Comments Tab

Fields and Buttons on the Comments Tab

The following table explains the fields and buttons on the **Comments** tab:

Table 47: Fields and Buttons on the Comments Tab

Field or Button	Action or Function	Required or Optional
Comments	Enter any additional comments or information about your submission.	Optional

Submit Tab

The **Submit** tab is where you sign and date your submission with your electronic mark. It provides two mandatory check boxes to indicate that the filers who have signed this submission have reviewed it and can attest to the accuracy of the legal statements to the right of each box.

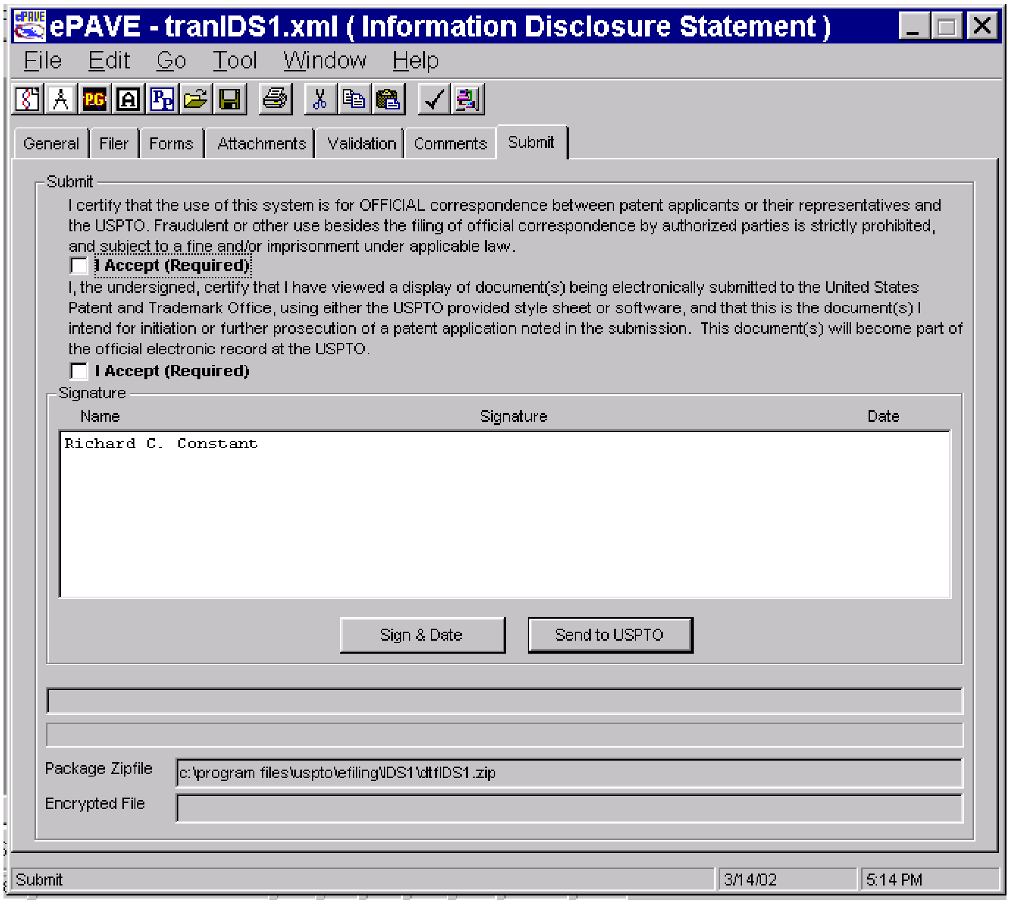


Figure 229: Submit Tab

Fields and Buttons on the Submit Tab

The following table explains the fields and buttons on the **Submit** tab:

Field or Button	Action or Function	Required or Optional
I Accept	You must read each of these two statements and click each of the two corresponding boxes to indicate your acceptance, placing a check mark in each box. To remove a check mark from a box, click the box again.	Required
Name	This column lists the filers associated with the submission.	
Signature	This column shows the electonic signature of each filer once the filer has signed the submission.	
Date	This column lists the date that each filer signed the submission.	
Sign and Date	Click this button after you select your name from the filers list to sign and date the submission.	
Send to USPTO	Click this button to submit your filing to the USPTO.	
Package Zipfile	This field shows the location of your zipped submission package.	

Field or Button	Action or Function	Required or Optional
Encrypted File	This field shows the location of the encrypted submission package.	

Signing Your Submission

If you have reviewed the legal statements and have completed your electronic submission, you are ready to sign your document.

Each listed filer must personally make his/her electronic mark and sign the submission prior to uploading to the USPTO.

Use the following procedure to sign the document:

1 Click the **Submit** tab to go to the **Submit** page.

2 Read the first legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

3 Read the second legal statement and click the corresponding box to indicate your acceptance, placing a check mark in the box.

4 Select your filer name in the **Signature** field.

5 Click the **Sign & Date** button.
The **Signature** dialog box for the filer that you selected opens.

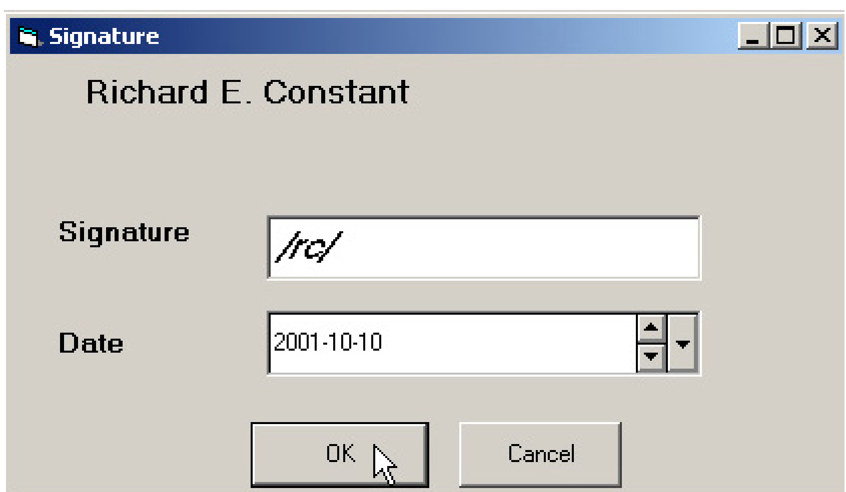


Figure 230: Signature Box with Electronic Signature

6 Enter the electronic mark you intend as your signature under 37 CFR 1.33(b) in the **Signature** field.

7 Enter the signing date in the **Date** field. You can change the date using the up and down arrows.

8 Click **OK** to accept this signature or click **Cancel** to return to the previous screen.

9 Repeat **Step 4** through **Step 8** for each filer

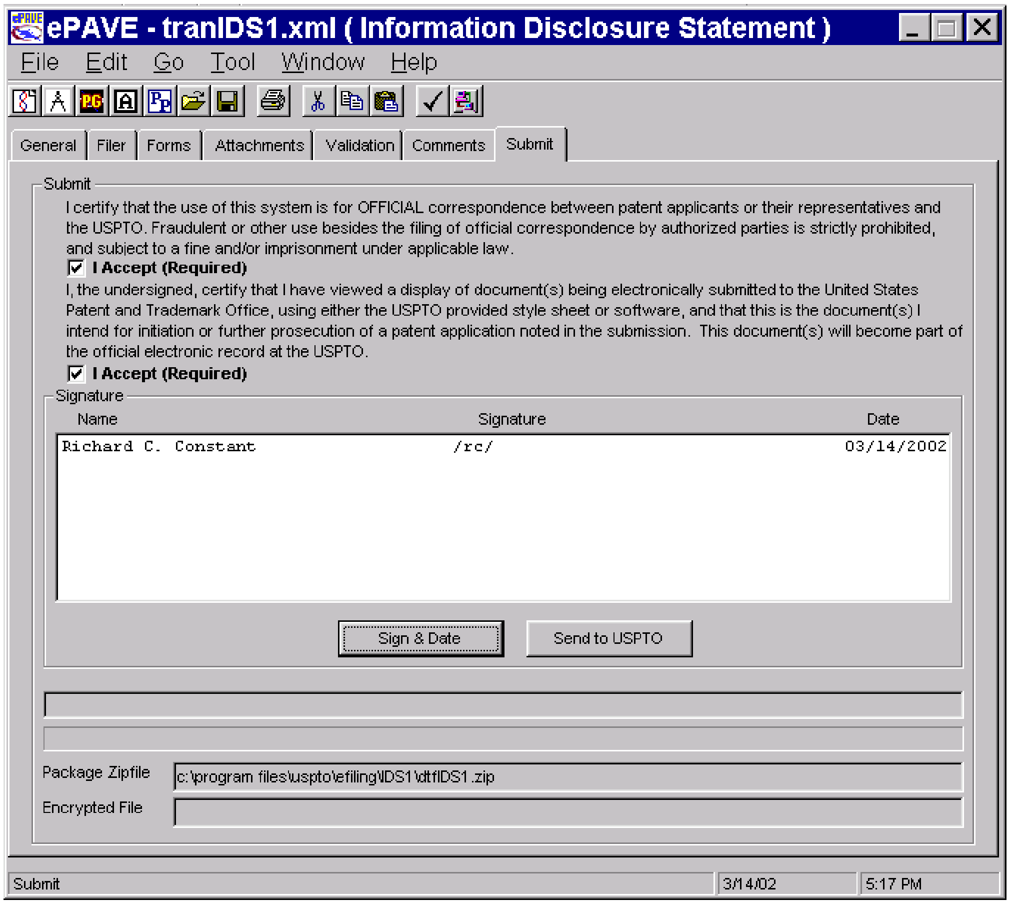


Figure 231: Submit Tab Reflecting an E-signature

Sending Your Filing to the USPTO

Once you have completed all of the screens in ePAVE and have successfully validated them, you are ready to file your submission directly with the USPTO over the Internet.

Use the following procedure to start the submission process:

1 If you are using a dial-up modem, make sure that your Internet connection is still active.

2 Click on the Send to USPTO button on the Submit tab.

7. If you do not receive any error messages, go to ***Digital Certificate Login on page 63***.
If you receive an Invalid Submission Warning message, go to ***Validation Override on page 62***.

If you receive an error message stating that the submission exceeds 10MB, go to *Filing Large Submissions on CD on page 32*.

Digital Certificate Profile Log-in

The last step that ePAVE requires is that you log in with the Entrust profile and password that you designated when you created your digital certificate using the USPTO Direct security software.

The ePAVE application will automatically save the location of the last profile used for a submission. If you have more than one profile on a specific computer or have never filed, you may browse to the location of the specific profile.

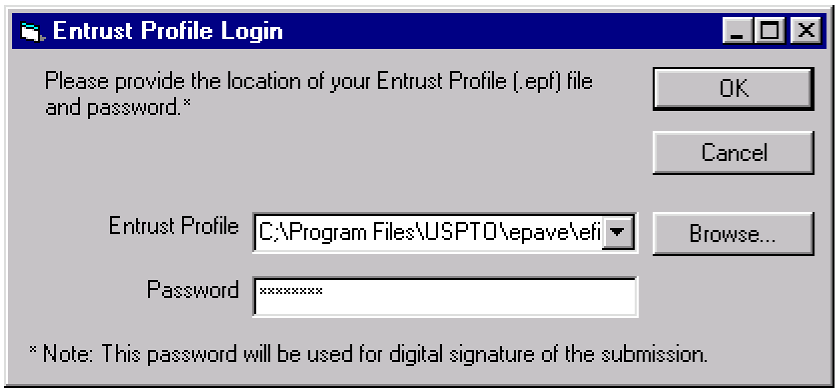


Figure 232: Entrust Profile Login

Use the following procedure to authenticate the digital certificate and send your package:

1 Click the **Browse** button to locate your profile in your directories.

2 Select the profile.
You return to the Entrust Profile Login dialog box.

3 Enter the password for that profile in the **Password** field.

4 Click **OK**.

Acknowledgement Receipt

After the package has been transmitted to the USPTO, the USPTO server dates and timestamps the package, and uses digital signature technology to verify that the contents of the package have not been altered in transit. The USPTO server also returns information to ePAVE that ePAVE then uses to create your Acknowledgement Receipt—including a unique EFS Transaction ID and the date and time received at USPTO.

This receipt is returned to you in real time. The receipt is automatically saved in the folder you created for this submission, and should be printed and if applicable, included in your formal amendment filed in paper when submitting a CRF sequence listing copy.

Please refer to the EFS Legal Framework at the Patents Electronic Business Center web site, www.USPTO.gov/ebc, for force and effect of the Acknowledgement Receipt. The Acknowledgement Receipt establishes the date of filing for new utility patent application or the date of receipt for subsequent filing. The Acknowledgement Receipt does not grant an official filing date for the new utility patent application.

NOTE: For subsequent filings, the application serial number that appears on the receipt is the same application number that you entered on the General tab.

The following figure shows an example of an **Acknowledgement Receipt**:

```
                 Acknowledgment Receipt:

SUBMISSION TYPE: Utility Patent Filing
APPLICATION NUMBER: 00007308
FIRST NAMED INVENTOR: JOHN DOE
TITLE OF INVENTION: NITROGEN DIOXIDE DETECTION APPARATUS
ATTORNEY DOCKET NUMBER: ABC-123

FILE LISTING:
  transmittal               tranNO2DETECTING.xml 5280 Bytes
  declaration               declarationpage1.tif 52308 Bytes
  fee-transmittal           NO2DETECTINGfee.xml 1676 Bytes
  fee-transmittal           u-feetra.dtd 37433 Bytes
  fee-transmittal           e-feetra.xsl 14863 Bytes
  specification             Sample4.xml 23427 Bytes
  specification             u-specif.dtd 106427 Bytes
  specification             specif.xsl 33130 Bytes
  specification             fig1.tif 26680 Bytes
  specification             fig2.tif 17744 Bytes
  specification             fig3.tif 13792 Bytes
  bibd-transmittal          NO2DETECTINGapds.xml 2777 Bytes
  bibd-transmittal          u-bibdat.dtd 35690 Bytes
  bibd-transmittal          e-bibdat.xsl 24172 Bytes

EFS ID: 67464
FILE SIZE: 159748 Bytes
TIMESTAMP: Wed Oct 10 16:32:53 EDT 2001
MESSAGE DIGEST: Xs91d54tcqvSKJYRMKXk9w==
DIGITAL CERTIFICATE HOLDER NAME: cn=EFS Test User3, ou=Registered Attorneys
UPLOAD STATUS: You have successfully uploaded your submission to USPTO
```

Figure 233: Acknowledgement Filing Receipt

Fields on the Acknowledgement Filing Receipt Tab

The following table explains the fields on the **Acknowledgement Filing Receipt** tab:

Table 48: Fields on the Acknowledgement Filing Receipt Tab

Field	Action or Function
Serial Number:	This field shows the application (serial) number that you either entered on the **General** tab for biotechnology sequence listings and pre-grant publication submissions, or that was returned to ePAVE from the EFS server after successful submission of a new utility Patent application filing.
First Named Inventor:	This field shows the name of the first named inventor that you entered on the **General** tab.
Title of Invention:	This field shows the title of the invention that you entered on the **General** tab. You cannot enter a mathematical formula or chemical formula as part of the title of

Field	Action or Function
	invention.
File Listing:	This field shows an itemized listing of all files that were included in the submission package sent to the USPTO, including the file size.
EFS ID:	This field shows the unique ID number that the USPTO server assigned to your submission.
File Size:	This field shows the size of the encrypted and zipped submission package file that the USPTO received.
Timestamp:	This field shows the date and time the USPTO officially received the package, as indicated on the EFS server timestamp.
Upload Status:	This field shows the status of your upload. A successful message indicates that the digital signature was verified and the integrity of the package was intact. If the package integrity is not verified as intact, an error message is shown in this field.
Response File (.rsp)	This box identifies the path and file name of the Acknowledgement Receipt file. A copy of this file is retained in the folder created for this submission.

OPENING A PREVIOUSLY CREATED SUBMISSION

To open a previously created submission that has not yet been sent to USPTO follow these steps:

1. Go to the **File** menu and select **Open**.

2. Browse your directories to locate the submission folder that you created earlier.

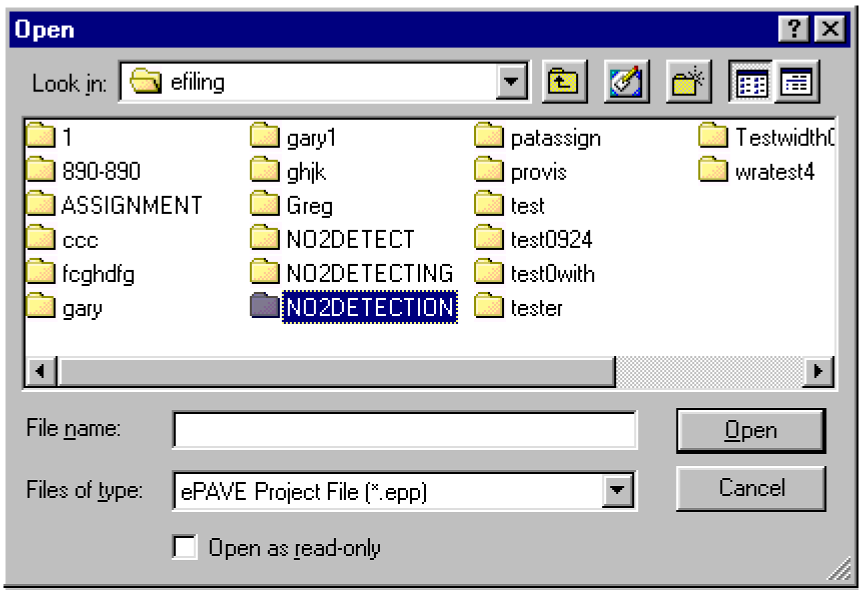


Figure 234: Locating the Submission Folder

3. Highlight the folder and click the **Open** button.
   The folder will contain a file with the extension **.epp**.

4. Highlight the **.epp** file and click the **Open** button.

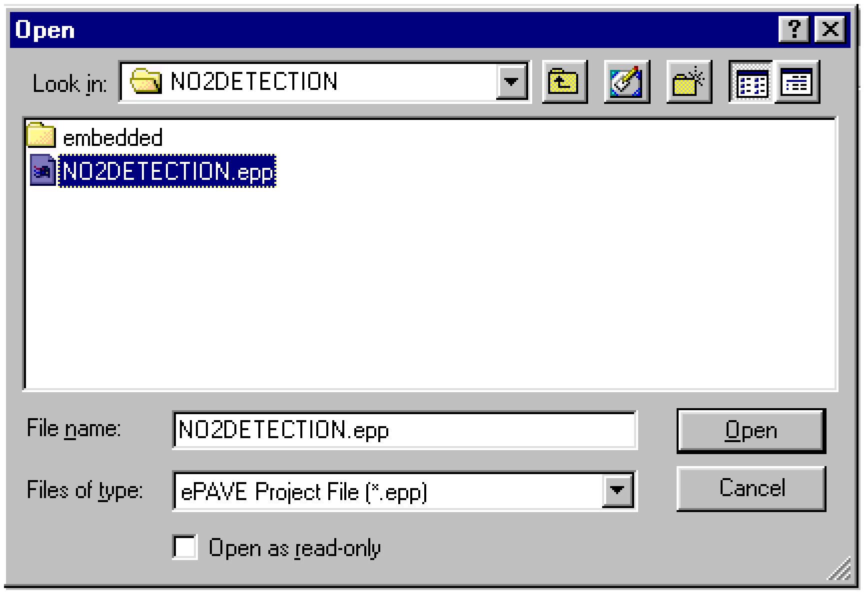


Figure 235: Opening the .epp File

5. The previously created submission opens and display the information that you entered.

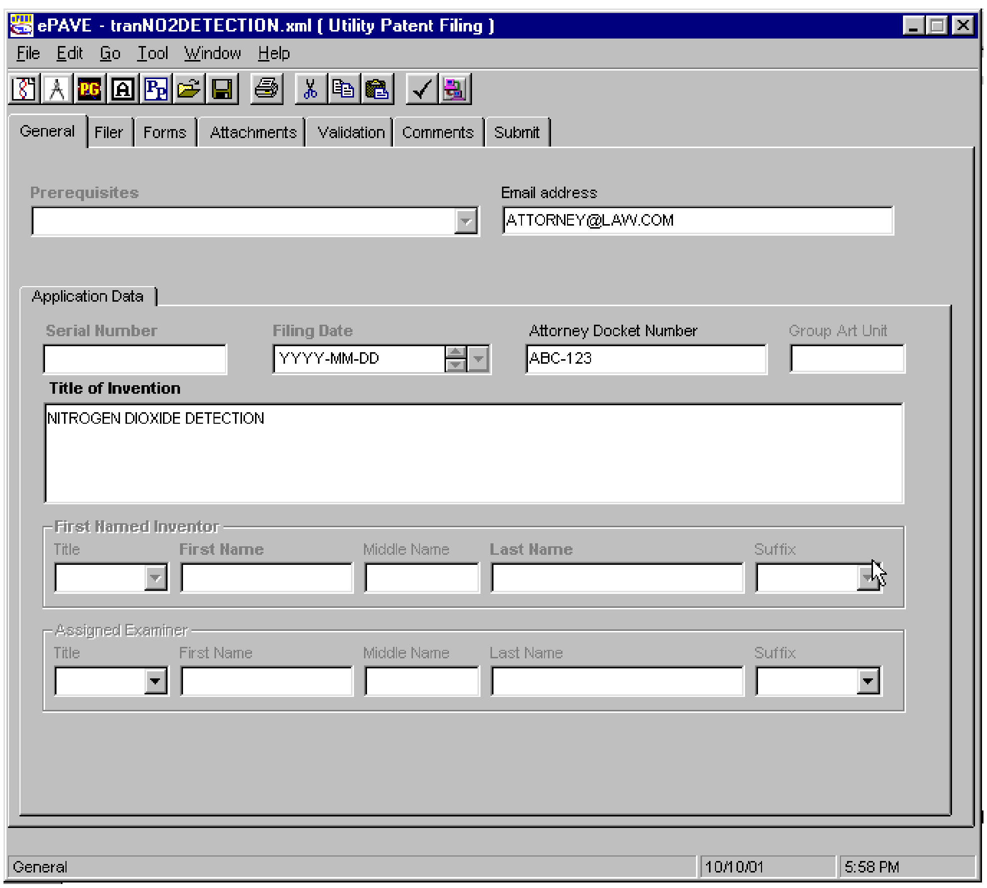


Figure 236: Previously Created Submission

6. The information in the submission can now be added to or modified.

APPENDIX A: DETAILED DESCRIPTION OF SCREENS AND FIELDS

The following list describes the data entry fields in each tab. If you are uncertain as to what type of information is to be entered, please use this section as a reference. Many of the tabs ask for the same information. This guide provides only one detailed description of the duplicated fields.

General Tab

Prerequisites: For a Biosequence listing subsequent to filing of an application, select the type of submission being made from the drop down list. Choose either Subsequent Filing Before Issue Date or Subsequent Filing After Issue Date. (Required for Biosequence submissions. Unavailable and grayed out for new filings and Pre-Grant Publication submissions.)

Email address: Enter a primary Internet e-mail (electronic mail) address that the USPTO can use to send e-mail related to this particular filing only. This address does not supercede the official e-mail address on file as the electronic correspondence address. (Optional)

Serial Number: For Biosequence listings and pre-grant publication submissions, enter the application serial number that was assigned to this patent application by the USPTO (Required for Biosequence listings and Pre-Grant Publication submissions. For new application filings this field is disabled and grayed out)

Filing Date: For Biosequence listings and pre-grant publication submissions, enter the official actual) filing date that was granted to this application by the USPTO. (Required for Biosequence and Pre-Grant Publication submissions. For utility patent filings, this field is disabled and grayed out.)

Attorney Docket Number: Enter the reference number of your choice as a means of identifying your application. This number is not assigned by the USPTO. (Optional)

Group Art Unit: For Biosequence listing filings, enter the art unit number where the application is assigned for examination, if known. (Optional)

Title of the Invention: Enter the full title of the patent application for which this filing is being submitted. Include all spaces and punctuation. (Required)

First Named Inventor: For Biosequence submissions enter the first named inventor information in this field. This is required for Biosequence submissions. For new filings and Pre-Grant Publication submissions these fields are grayed out and will be populated when the application data sheet is filled out.

Title: Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc. (Optional)

First Name: Enter the first or given name. (Required)

Middle Name: Enter the middle name. (Optional)

Last Name: Enter the family or surname. (Required)

Suffix: Enter a generational title such as Jr., Sr., III, etc. (Optional)

Assigned Examiner: For Biosequence Listings enter information identifying the Examiner to which this application is assigned, if known. This entire section is optional; however if an examiner is being identified, certain elements in this section are required.

Title: Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc. (Optional)

First Name: Enter the first or given name. (Required if any information is entered in this section)

Middle Name: Enter the middle name. (Optional)

Last Name: Enter the family or surname. (Required if any information is entered in this section)

Suffix: Enter a generational title such as Jr., Sr., III, etc. (Optional)

Filer Tab

Type of Filer Radio Buttons/Text Fields

Applicant: Identifies the filer as an inventor or an applicant acting for an inventor under 37 CFR 1.42, 1.43, or 1.47

Assignee: Identifies the filer as the owner to whom the rights and interest of the invention has been assigned by the applicants. The owner may be a person or an organization. If the assignee is an organization, a person authorized to sign on behalf of that organization must be identified by name and title.

Attorney or Agent: Identifies the filer as a practitioner or party under 37 CFR 1.34 who is authorized to prosecute the invention on behalf of the applicant(s) and/or assignee(s).

Assignee Undivided Part: Identifies the filer as the owner to whom an undivided part interest of the invention has been assigned by applicant(s). The owner may be a person or an organization. It the assignee is an organization, a person must be identified by name and title who is authorized to sign on behalf of that organization.

Registration Number: Enter the individual registration number of the practitioner(s) filing this submission on behalf of the applicant(s) and/or assignee(s). (Optional)

Assignee Radio Buttons/Text Fields

Person: Select this choice if the assignee filing this transmittal is a person.

Organization: Select this choice if the assignee filing this transmittal is a business entity or non-profit institution

Organization Name: Enter the name of the organization if the assignee or assignee of undivided part interest filing this submission is an organization. The organization may be a business entity or a non-profit institution. (Required for organizations)

Title at Organization: Enter the official title of the person who is signing on behalf of the identified organization if the assignee or assignee of undivided part interest filing this submission is an organization. (Optional for organizations)

Forms Tab

Available Forms and Selected Forms

Application Data: A form to enter bibliographic data and create an application data sheet per 37 CFR 1.76. The date entered will be published on the front page of patent application publications. (Required for new utility filings and Pre-Grant Publication submissions. Not a permissible form for submission with Biosequence Listing submissions)

Biosequence Transmittal: A form to create a transmittal form to accompany Biosequence submissions for previously filed patent applications or issued patents

Fee Transmittal: A form to enter and calculate fee and payment data and create a fee transmittal for new utility applications and certain Pre-Grant Publication submissions.

No fee is required for subsequently filed Biosequence submissions so this form is not proper for submissions of this type. In addition, no fee is required for original publications in amended or redacted form so this form should not be included with those submission types.

Information Disclosure Statement: placeholder text

Patent Assignment Recordation Form: A form to enter data to submit assignment recordation data and create of an assignment recordation cover sheet along with a new patent application filing. This form is not appropriate for Pre-Grant Publication or subsequent Biosequence submissions.

Form Description and Usage: This box contains information about a highlighted form and when it should be included.

Application Data Form Tab Screens

Application Details Tab

Title of Invention: This field is populated by the information entered in the General Tab.

Attorney Docket Number: This field is populated by information entered in the General Tab.

Application Type: Select the application type associated with this submission. (Required)

Utility: Utility application filing

Plant: Plant application filing

Application Filing Date: This field is populated by information entered in the General Tab for Biosequence submissions and Pre-Grant Publication submissions.

Customer Number for Correspondence: Enter your USPTO assigned customer number in this field. This information is *required*. The correspondence address associated with your customer number will become the address that USPTO uses to communicate with you.

Application Confirmation Number: For pre-grant publication submissions enter your USPTO assigned confirmation number in this field. This is *required* for Pre-Grant Publication submissions. This field is disabled for new utility filings. You can obtain the confirmation number for a pending application from PAIR.

Inventors Tab

Address1: Enter the first line of the inventor's address. (Optional)

Address2: Enter the second line of the inventor's address, if any. (Optional)

City: Enter the city. (Optional)

State: Enter the state or province. (Optional)

Postal code: Enter the zip or postal code. (Optional)

Country: Enter the country. (Optional)

eMail Address: Enter the inventor's e-mail address. (Optional)

Telephone: Enter the inventor's telephone number. (Optional)

Fax: Enter the inventor's facsimile number. (Optional)

Inventor's Residence: Select either the **US** or **Non-US** radio button

City: Enter the inventor's city of residence. (Required for new filings and Pre-Grant Publication submissions unless Military Service)

State: Enter the inventor's state of residence. (Required for new filings and Pre-Grant Publication submissions unless Military Service or Non-US resident)

Country: Enter the country where the inventor resides. (Required for new filings and Pre-Grant Publication submissions unless Military Service)

Citizenship: Enter the country of citizenship of the inventor. (Required for new filings and Pre-Grant Publication submissions unless Military Service)

Military Service Check Box: If the inventor is on active duty in the U.S. Military this box may be checked in lieu of providing residence information.

Authority for Applicant under 37 CFR 1.42, 1.43, or 1.47: In certain circumstances an inventor is unable to file his/her own patent application and an authorized individual must do so. In these cases, the regulation number that this filing is being made under should be entered here.

Publication Data-1 Tab

Request for Early Publication Box: Indicate a desire to have a new application published earlier than 18-months from first priority claim under 35 USC by checking this box. Not available for Pre-Grant Publications.

Publication Filing Type: Indicate the type of pre-grant publication being submitted. The various types are available from the drop-down menu.

Corrected: Pre-Grant Publication to correct errors in a previously published patent application.

Original Publication Amended: Pre-Grant Publication submission which will constitute the original patent application publication that has been amended during patent prosecution and will be published instead of the application as filed per 37 CFR 1.215(c).

Original Publication Redacted: A Pre-Grant Publication submission which will constitute the original patent application publication in redacted form which will be published instead of the application as filed per 37 CFR 1.217(d).

Republication - Amended: Request for Pre-Grant Republication of the application as amended during prosecution as per 37 CFR 1.215(c) and 37 CFR 1.221.

Republication - Redacted: Request for Pre-Grant Republication of the application as redacted as per 37 CFR 1.217(d) and 37 CFR 1.221.

Voluntary: A request for Pre-Grant Publication of an application pending on November 29, 2000, as per 37 CFR 1.221.

Suggested Figure for Publication: Suggested figure for publication on the front page of the pre-grant publication. (Optional)

Request not to Publish box: For new applications, indicate that USPTO is not to publish this application because applicant does not want the application published and applicant certifies that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing per 37 CFR 1.213. This is not an option for anything other than new utility filings.

Publication Data-2 Tab

Use this tab to indicate the address and assignment information that you want published in your patent application publication.

Published Correspondence Name and Address Section:
Name1: Name of individual or organization which will be published on the published patent application under correspondence address (for example, Joe Jones) (Optional)

Name2: Name of individual or organization which will be published on the published patent application under correspondence address (for example, Smith and Jones, LLP) (Optional)

Address1: First line of the correspondence address which will be published on the published patent application (Optional)

Address2: Second line of the correspondence address which will be published on the published patent application (Optional)

City: City of the correspondence address which will be published on the published patent application (Optional)

State: State or province of the correspondence address which will be published on the published patent application (Optional)

Postal Code: Zip or postal code of the correspondence address which will be published on the published patent application (Optional)

Country: Country of the correspondence address which will be published on the published patent application (Optional)

eMail Address: The e-mail address of the correspondence address which will be published on the published patent application (Optional)

Telephone: The telephone number of the correspondence address which will be published on the published patent application (Optional)

Fax: The facsimile number of the correspondence address which will be published on the published patent application (Optional)

Published Assignee Information Section:
Title: Enter a courtesy title such as Mr., Mrs., Ms., Dr., etc. for the assignee for publication (Optional)

Given: Enter the first or given name of an assignee for publication (Optional)

Middle: Enter the middle name of an assignee for publication (Optional)

Family: Enter the family or surname of an assignee for publication (Optional)

Suffix: Enter a generational title such as Jr., Sr., III, etc. for publication (Optional)

Address1: Enter the first line of the assignee's address for publication (Optional)

Address2: Enter the second line of the assignee's address, if any for publication (Optional)

City: Enter the assignee's city for publication (Optional)

State: Enter the assignee's state or province for publication (Optional)

Postcode: Enter the assignee's zip or postal code for publication (Optional)

Country: Enter the assignee's country for publication (Optional)

eMail Address: Enter the e-mail address of the inventor for publication (Optional)

Telephone: Enter the assignee's telephone number for publication (Optional)

Fax: Enter the assignee's facsimile number for publication (Optional)

Representative Tab

If the representative has a customer number and associated address information that is different than the application correspondence address, and wishes to have the representative's address published on the patent application publication, then select this radio button and enter that customer number.

If multiple attorneys or agents are to be published as being associated with this application then check the **Attorney** or **Agent** radio button and enter data as described above.

Continuity Data Tab (Optional)

Step 1- Preface Phrase Section:
Select the radio button associated with the desired phrase

Step 2 – Relationship Section:
Select the radio button associated with the desired relationship type

Step 3 -Application Section:
Doc Number: Enter the application serial number of the related application

Kind Code: If the related application was published enter the kind code as described in World Intellectual Property Organization standard ST.16, for example A1 for the first publication of an application.

Document Date: Enter the application filing date of the related application

Country: Enter the country where the related application was filed

Step 4 Patent/Status Phrase Section:
Patent Radio Button: Click if the related application has matured into a patent

Doc Number: Enter the patent number

Kind Code: Enter the patent kind code, for example B1 for a patent that was not previously published as a patent application publication or B2 if the patent was previously published as a patent application publication. See MPEP 1851.

Document Date: Enter the patent issue date

Country: Enter the country where the patent issued.

Status Phrase Radio Button: Click if the related application has not issued as a patent

Status Phrase: Enter the status of the related application, for example, now abandoned, or pending.

Foreign Priority Benefit Tab

Foreign Application Number: Enter the foreign filing application number

Country: Enter the foreign country where the application was filed

Foreign Filing Date: Enter the foreign filing date

Priority Claimed: Click the appropriate radio button indicating whether priority is claimed or not claimed.

Plant Information Tab

Latin Name: Enter the Latin Name of the plant described in the attached submission

Variety Denomination: Enter the Variety Denomination of the plant described in the attached submission

Fee Transmittal Form Tab Screens

Filer Status Tab

Filer Status Box: Using drop down list select large or small entity as appropriate.

Small Entity Box: If the filer is a small entity, check the appropriate box to indicate whether the filer is an independent inventor, a small business, a non-profit organization, or a non-inventor. (Optional)

Total Fees Due: Indicates fees due for associated submission.

Fee Calculation Tab

Basic Filing Fee: Select submission type from the drop down list.

Extra Claim Fees Section:
Total Claims Box: Enter the total number of claims filed in a new application

Independent Claims Box: Enter the number of independent claims for a new application

Multiple Dependent Claims: Check this box if multiple dependent claims are being submitted in a new application.

Fee Amount: Displays the fee due for this category

Additional Fees Section:
Additional Fees: Select any additional fees that may be required for your submission.

Fee Code: Displays the fee code associated with the additional fee

Amount: Displays the amount of the additional fee

Description: Displays the description of the additional fee

Fee Type: Indicates the additional fees that have been added.

Method of Payment Tab

Deposit Account Radio Button: Select to pay fees via deposit account.

37 CFR 1.16 & 1.17 checkbox and 37 CFR section 1.18 checkbox: These are checked if USPTO is allowed to charge additional fees not calculated using ePAVE

Deposit Account Number: The number of the deposit account from which the USPTO is to deduct funds. Should be a six digit number submitted in either ##-#### or ###### format.

Deposit Account Name: The name associated with the deposit account.

Authorized User Name: Enter the name of the individual who is authorizing the payment of the fees.

Electronic Signature Mark: Identifies the signature mark of the authorized user.

Credit Card Radio Button: Click if Credit Card payment is desired. Select the desired credit card type and click that radio button.

Credit Card Number: Enter the credit card number by which fees are being paid.

Expiration Date: Enter the credit card expiration date

Name as it Appears on Credit Card: Enter the name on the credit card

Billing Postal Code: Enter the credit card billing postal or zip code

Fee Transmittal Form Tab Screens

Attachments Tab

Transmission Documents: This box contains information identifying all of the documents that are currently included in the submission.

Selected Document's Details: This box contains information about the file selected above including its File Name, File Size, File Date/Time, and the Document Type.

Transmittal XML Box: Identifies the path and name of the eXtensible Markup Language (XML) transmittal file being created in the background by ePAVE.

Attach Button: Allows the user to attach other documents such as a specification, a declaration, supporting documentation for assignment recordation requests, Biosequence listing files.

Remove Button: Allows the user to remove attached files from the current submission folder

View Button: Allows the user to View and Print any of the attached files

Validation Tab

Errors/Warnings: This window shows the errors or warnings that are present in the current submission. By highlighting a listed validation error and double-clicking on that error, you can display a detailed explanation of the error, including where it occurred in the ePAVE application, what the problem was, and a suggested fix.

Type: Text describing what portion of the electronic transmittal information is missing or defective

Screen: Text describing the ePAVE screen tab where the error occurred.

Field: Text describing the specific location within the ePAVE tab where the error occurred.

Message: Error message text describing the error.

Suggestion/Comments: Text describing a possible solution to the error.

Error File box: Identifies the path and name of the file containing the error log displayed above.

Print Errors Button: Use this button to print a list of the Errors received with an error number, the file name where the error was detected, the type of document where the error was detected, the location of the error in the particular document, the error message, and a comment that should assist you in correcting the error.

Validate Button: Use this button to check your submission for errors

Details Button: Select a particular error from the list of errors described in the Errors/Warnings and click on this button to view details of the error received with the file name where the error was detected, the type of document where the error was detected, the location of the error in the particular document, the error message, and a comment that should assist you in correcting the error.

Comments Tab

This field can include any additional data that you would like to submit with your submission. The information will appear on the transmittal forwarded to USPTO.

Submit Tab

At the top of this tab are two certifications that are required before a submission can be made. The first indicates that the system is being used for Official correspondence. The second indicates that the signer has viewed a display of the documents being electronically submitted.

Signature: Displays information related to the identity of the individual signing the submission. The Name field is populated by information provided at the Filer Tab.

Name: Identifies the name of the filer signing the submission. Highlight the name to activate the sign and date dialogue box.

Sign and Date Dialogue Box

Signature: The electronic mark that the identified filer intends, as their signature under 37 CFR 1.33(b). (Required*)*

Date: Identifies the date that the submission was signed.

Package Zipfile Box: This box identifies the path and file name of the zipped (compressed) package being submitted to the USPTO. A copy of this file is retained in the folder previously created for this submission.

Encrypted File Box: This box identifies the path and file name of the encrypted package being submitted to the USPTO. A copy of this file is retained in the folder previously created for this submission.

APPENDIX B: EPAVE SYSTEM AND ERROR MESSAGES

This tables in this section list the system messages and error messages you may encounter while using ePAVE, and also provides information about what action you should take when you see a specific system or error message. The messages are organized by the screen where they appear.

Screen Where Message Appears	Error Message
Launching ePAVE	Would you like to verify that you are running the most current version of ePAVE software? Please note: This will start an Internet connection to the USPTO server. If you choose NO, verification will occur later, right before you start uploading.
	ePAVE will terminate due to missing DLLs. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	The animation file is missing (*.avi). Please reinstall ePAVE to restore it.
	Could not find help file !
	Could not find Internet Explorer !
Saving the Submission	You are about to exit. Would you like to save the changes to the submission?
	This file could not be created at the requested destination: '%1'. Would like to replace the destination file?
Printing the Submission	The default printer is not available!
	The print command is currently disabled.
	Print command Error: %1.
Creating A Submission	The folder already exists. Please choose a unique name.
	Error occurred opening the file. Either the file does not exist or format is incorrect.
	Invalid Project. Please create a new Submission Folder.
	The Project Template could not be opened.
Filer Tab	The following combination of authorized filers are acceptable based on 37 C.F.R. 1.33(b), 1.34(b), 37 C.F.R. 1.42, 1.43, or 1.47: 1 or more attorney or agent; 1 assignee only; 1 or more applicants and assignees of undivided part.
Forms Tab	Only the following documents are allowed to be attached:
Fee Transmittal Form Tab	ePAVE cannot find correct Fee Document Type Definition (*.dtd) file: '%1'. Please run Version Examiner from the USPTO website (http://www.uspto.gov).
Attachments Tab	The declaration image file(s) should be attached to this package. Use Attach button on this ePAVE tab, select 'declaration (*.tiff, *.tif)' from the 'Files of type:' drop-down list, then select the proper file.
	Error accessing the user directory:
	EPAVE detects one or more attached files have been moved or deleted. Please check the files and references on the Attachment Tab.

Screen Where Message Appears	Error Message
	The requested file is in this package already, has the same name as another attachment, or cannot be found. If this occurred opening the file, check all attached files for duplicate file names.
	The required file does not exist: '%1'.
	The attached document type is %1, but %2 is expected.
Validation Tab	Some of the fields on ePAVE screens contain incorrect information. Please double click the row and make corrections.
	The local ePAVE version is not current. Please upgrade your ePAVE software. '%1' is missing.
	Submission Folder name should not contain special characters (e.g. &, #, %). Please provide alphanumeric characters only.
	This filename is in use by ePAVE : %1. Please rename your attached file.
	Missing electronic signature.
	Required field cannot be blank.
	Format of the e-mail address is incorrect. (FINE)
	Format of the application number is incorrect.
	Validation error(s) exists! This submission will be sent to the USPTO due to user override.
	Could not connect to USPTO EFS Server.
	The local ePAVE version is not current.
	At least one filer is needed.
	At least one additional attachment is needed.
	Both the first AND last name of the examiner is required.
	Small Entity Statement can be attached on the Attachments Tab.
	New utility applications require an attached Declaration tiff image file.
	A Specification is required for a New Utility submission.
	The confirmation number is invalid.
	Could not query the server regarding confirmation number.
	Required field cannot be blank.
	Correspondence Customer Number is required for electronic filing.
	The Assignment Fee Amount is incorrect based on number of Assignments included.
	'%1' is not expected as an attachment in this kind of submission.
	Please enter an electronic signature on the Submit Tab.
	Please fill in this data on the General tab page.

Screen Where Message Appears	Error Message
	Please e-mail format (name@place.domain) to fill out the e-mail address.
	Use the correct application number format: ##/###,### where ## is 01-11, 29, 60 or 90, and ###,### is a six digit number. For PCT applications, use the correct international number format: PCT/CC##/####### where PCT is not case sensitive, CC is the country code, ## is a 2 digit number and ####### is a 5 to 7 digit number. Slashes and commas are optional in both formats.
	Overriding is not recommended. Please correct all errors before sending to USPTO.
	Please check your internet connection and try again.
	Please upgrade your ePAVE software.
	Please enter a Filer name on the Filer Tab.
	Please attach the appropriate file on the Attachments Tab.
	Please fill out the first name and last name for assigned examiner.
	Please attach a Small Entity Statement on the Attachments Tab.
	Please attach the Declaration tiff image(s) on the Attachments Tab.
	Please attach the Specification (*.xml) file, generated using an authoring tool, on the Attachments Tab.
	Please return to the Application Datasheet to correct the Application Confirmation Number.
	Server is not accessible. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	This data is supplied from the Application Datasheet. 1. Go to the Forms Tab. 2. Open the Application Datasheet. 3. Go to the Inventors Tab. 4. Fill in the First AND Last names, as well as any other information about the inventor, and press the Add Button. 5. Save the Application Datasheet.
	The minimum requirement for %1 is %2, but only %3 quantity is attached.
	This data is supplied from the Application Datasheet. 1. Go to the Forms Tab. 2. Open the Application Datasheet. 3. Go to the Application Details Tab. 4. Fill in the Customer Number for Correspondence field with your Customer Number. (Customer Numbers will be 6 digits or less.) 5. Save the Application Datasheet.
	Please reopen the fee form to verify the correct amount and save the fee form again.

Screen Where Message Appears	Error Message
	Please attach '%1' document from Attachments Tab.
	Please remove '%1' document from Attachments Tab.
	The customer number cannot be greater than 6 digits. The customer number cannot be greater than 6 digits. The error occurred while loading the browser. The browser is already loaded. The Form will be closed. Could not delete this record. Other records reference it!
	The required field (Said Application) is missing. The record cannot be inserted. The required field (Application -> Doc Number) is missing. The record cannot be inserted. The required field (Patent Reference or Status) is missing. The record cannot be inserted.
	All of the fields are required.
	The registration number cannot be greater than 5 digits.
	The given and family names are required.
	Both the given and family names are required fields. City, State and Country are required fields. City and Country are required fields. The information is required for military service.
	At least one inventor is required. The title of invention cannot be blank. Enter the title of invention in the General Tab. The application type cannot be blank. Enter the Application Type in the Application Details Tab. The publication type cannot be blank. Enter the publication type in the Publication Data-1 Tab. Name1, Name2, and Address1 are mandatory in Published Correspondence Name and Address. Enter the data on the Publication Data-2 Tab. Name1, Name2, and Address1 are mandatory in Published Correspondence Name and Address. Enter the data on the Publication Data-2 Tab. Name1, Name2, and Address1 are mandatory in Published Correspondence Name and Address. Enter the data on the Publication Data-2 Tab. Family name is mandatory in Published Assignee Information. Enter the family name on the Publication Data-2 Tab. Would you like to continue?

Screen Where Message Appears	Error Message
	A small entity statement should be provided for a small entity claim. Credit card number is invalid. Could not find any submission type. The error occurred while loading the browser. The browser is already loaded. The Form will be closed. The fee is already selected.
	The Credit Card number is missing. The Credit Card expiration date is missing. The Credit Card address is missing. The Credit Card holder is missing. The deposit account number is missing. The deposit account name is missing. The deposit account user is missing. The deposit account date is missing. The electronic signature mark is missing. The following error(s) have been detected by the USPTO business rule: Would you like to continue?
Submit Tab	Please select a Filer's name first. If Filer name is missing, return to Filer Tab and enter one.
	You must read and accept all the terms of the preceding certification statements prior to submitting the transmittal file to the USPTO.
Electronically Filing the Submission	An error occurred during file compression. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	ePAVE detects missing system generated file(s). Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	ePAVE cannot verify version. Check your Internet connection. Would you like to continue? Click No to quit ePAVE.
	Could not complete version verification. Please try again.
	The local ePAVE version is not current. Please upgrade your ePAVE software.
	The project file (*.epp) does not have a valid ePAVE transmittal file associated with it. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	The information on the Transmittal Form is inconsistent with the Application Datasheet. Please correct the Application Datasheet.

Screen Where Message Appears	Error Message
	The synchronization file cannot be found. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	The Submission has been canceled.
	This submission exceeds the upload limit of 10 megabytes. 1.) Please print the transmittal form displayed (to be used as a cover sheet). 2.) Burn the submission package: '%1' onto a CD. 3.) Mail both to the USPTO.
	Another authoring form is still open. Return to the Forms Tab and close all forms before continuing.
	The header file has been altered. ePAVE will now exit. Reopen the Project File (*.epp) to continue with this submission.
	Fatal Error: Encryption Filename is not set. Reinstall ePAVE software.
	Receipt file name is missing. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	Bundling of the submission has been completed. In the event of error during the submission process, please reopen the ePAVE project file (*.epp) located in your Submission Folder. Click OK to send this submission to the USPTO.
	A transmission error has occurred. The submission is still bundled and ready to send to the USPTO. Please reopen the ePAVE project file (*.epp) located in the Submission Folder.
	The submission is still bundled and ready to send to the USPTO. Please reopen the project file (*.epp) located in the Submission Folder.
	Document '%1' exceeds the EFS system attachment limit for a single submission.
	The embedded directory cannot be created. Create a new Submission Folder.
	Please close all form windows in order to close current submission.
	The zip file has been altered since last transmission attempt. ePAVE will now exit. Reopen the project file (*.epp) to continue with this submission.
	Unidentified ePAVE error occurred. Please contact the USPTO EBC Customer Support Center at (703) 305-3028.
	An error occurred during file extraction. Remove all attachments (in the Attachments Tab) and re-attach these files.
	Cannot save the error information into error log file: '%1'.
	The size of the submission package is over the 10 megabytes. ePAVE cannot submit this package via the Internet. Would you like to continue to create encrypted files for CD burning?
Digital Certificate Profile Log-in	You have attempted to login too many times. Exit ePAVE and reopen the Project File (*.epp)

APPENDIX C: PATENT BUSINESS CONTEXT FOR EFS USE

This section of the user manual briefly describes the patent business context for use of the Electronic Filing System. The Electronic Filing System is used to transmit specific types of patent application submissions to the USPTO using the Internet.

EFS Legal Frame Work for the Use of the Electronic Filing System

EFS Legal Framework for the use of the Electronic Filing System is a document that explains the legal framework for the treatment of patent applications filed under the Electronic Filing System (EFS) and provides insight on how an electronic application will be processed by the USPTO. This document clarifies some issues concerning these applications and the related USPTO regulations. You can view or download the EFS Legal Framework document from the Patent Electronic Business Center EFS web site at www.uspto.gov.

Acceptable Types of Electronic Filings

Regular domestic utility patent applications (except CPAs), and provisional applications are acceptable electronic filing submissions. EFS does not support electronic filing of, design, or plant new utility patent applications at this time. Future releases will accommodate these types of patent application filings.

The Electronic Filing System does not support electronic filing of international applications. A future release of EFS will accommodate this type of patent application filing.

Very large files (e.g. biotechnology utility patent applications) are also inappropriate for EFS use. For these types of applications, please use conventional compact disc and paper media for submission as described in 37 CFR Section 1.52. EFS technical submission size limitation is 10 MB or less.

When electronically filing a new utility patent application you have the option of authoring an Assignment Recordation form(s) for submission with the new utility patent application filing.

The software is used for the re-submission of patent application for purposes of Pre-Grant Publication (i.e. Domestic Publication of Patent applications Published Abroad under P.L. 106-113). Please refer to regulations 37 CFR Sections 1.211-1.221 for a complete description.

The applicant may file Publication-Ready Specification text and application information for the front page of the patent application Publication using EFS if the applicant desires the publication of: a) a redacted copy of an application (37 CFR Section 1.217; b) the application as amended (37 CFR Section 1.215; c) the voluntary publication of an application filed before, but pending on November 29, 2000 under 37 CFR Section 1.221 or d) a republication under 37 CFR Section 1.221 of an application previously published under 37 CFR Section 1.211.

If the applicant requests early publication of the application under 37 CFR Section 1.219, the applicant will indicate that the electronic utility patent application filed is to be published early during the submission process.

Secrecy Order applications can not not be filed using EFS due to national security concerns.

Electronic Signature/Intent to File Documents Submitted

The use of an electronic signature is a useful way for an attorney, agent or applicant to sign the electronic transmittal letter, which is important part of the submission process and required by 37 CFR 1.33(b). The electronic signature can be as simple as /s/. The presentation of the mark on the USPTO printed transmittal letter invokes assurances and certifications of 37 CFR 1.4 (d) (1) and (2).

The electronic signature is also captured on the fee transmittal when a deposit account method of payment is used. The use of the electronic signature on the fee transmittal is to identify the individual who is authorized to charge fees to the identified deposit account.

Patent Application Forms

Select patent application forms are authored as tagged structured documents using EFS ePAVE submission software.

Application Data

EFS form, Application Data, is used for two purposes: 1) to author bibliographic data associated with the new utility patent application arranged in a format specified by the Office (see CFR 37 1.76 Application Data Sheet); and 2) to capture information to be published on the front cover of a patent application publication.

Fee Transmittal

This EFS form specifically identifies fees due, method of payment to be used and amount of payment.

Assignment Recordation

The Patent Assignment Recordation Cover Sheet data entry forms can be authored using ePAVE. This form assigns patent ownership to a specified individual or entity.

When electronically filing a new utility patent application you have the option of authoring an Assignment Recordation form for submission with the new utility patent application filing.

Biosequence Transmittal

This EFS form creates a transmittal for CRF of a Biosequence Listing for a pending patent application. Rule 37 CFR 1.821-1.825.

Submission Transmittal

EFS ePAVE submission software automatically produces a submission transmittal based on general application information and filer information entered on ePAVE General and Filer Tab screens. The submission transmittal also contains certification statements.

Attachments

The following patent application parts are attached to the submission folder:

XML (eXtensible Markup Language) Specification Document

The XML specification document (with associated image files containing figures and/or complex work units (e.g. chemical formulae, if applicable). (Refer to one of the two EFS Authoring User Manuals for details about authoring XML specification document)

XML is technically a language that describes other languages. Use of XML to tag and structure business data describes what text is between the tags. Use of the XML standard to describe patent business data will support having content (e.g. text) submitted in patent application to be read by any computer and entered into databases.

The use of XML facilitates publication of patent application information, and increases search capabilities whereby a distinction between the same texts can be determined, for example, correspondence address and inventor's residence. XML also provides an automatic error checking capability to ensure completeness of the application submission prior to electronic filing of submission.

ePAVE automatically produces and attaches XML form documents as applicant completes data entry on the screens. Available form documents are: submission transmittal, fee transmittal, and patent application data sheet. The fee transmittal XML document contains fee information that corresponds to the selected method of payment either deposit account or bank (credit) card use.

ePAVE form authoring does not support use of special characters. However, EFS authoring tools for the patent application specification support a set of special characters. To enable electronic filing of patent applications that contain special characters or symbols EFS supports the Lucida Sans Unicode font, which covers most commonly used characters.

Image Files (in standard TIFF file format)

Saving drawn graphics or formulas as single-page TIFF image file(s) using a graphic or image program can create tiff images. Or, by scanning the paper document pages that contain the required text with signature(s), or figure drawing(s) or formula(s) as single-page tiff image files.

The following documents will be scanned because they are authored as customized legal documents with the original handwritten signature(s). The declaration for example contains the handwritten signature of the inventor(s). The (Optional) small entity statement is scanned from paper to create single page tiff image file(s) to be submitted using EFS. The small entity statement is not authored or submitted as an XML document. The designation of the application as a small entity is captured on the XML fee transmittal whether or not a statement is submitted.

Figures and in-line images (e.g. chemical or mathematical formula) can be saved as TIFF images depending on the capability of the graphics program or editor being used to create the original figure or formula. Updated versions of commercial graphics software provide a save as tiff image capability.

The technical requirement for tiff images to be electronically filed is black and white tiff images 300 dpi; CCITT Group 4 compression

Text Files

The Electronic Filing System (EFS) software enables applicants and practitioners to electronically file American Standard Code for Information Interchange (ASCII) text files that contain the following patent application information.

ASCII Sequence Listings (refer to Patent Procedure 37 CFR 1.824)

EFS accepts ASCII Sequence Listing files created by a sequence listing authoring tool, PatentIn, as well as accommodating ASCII Sequence Listing files created by other standard methods or editors. The text file contents are referenced in the application specification document that is electronically filed. The Sequence listing(s) appendix will be printed.

ASCII Computer Program Listing (refer to Patent Procedure 37 CFR 1.96)

EFS accepts ASCII Computer Program Listings as ASCII file(s). The text file is created based on the guidance provided in Patent Procedure 37 CFR 1.96 which includes the instruction that data must not be dependent on control characters or codes which are not defined in the ASCII character set.

If the computer program listing is contained in 300 lines or fewer, with each line of 72 characters or fewer, it may be submitted either as drawings (tiff image file) or as part of the specification. Any computer listing having over 300 lines must be submitted as appendix data (which means attachment of an ASCII file (s) containing the computer program listing(s)).

The computer program listing text file(s) are referenced in the application specification as a computer program listing appendix. The computer program listing appendix is not printed.

Table(s) as Appendix Data (refer to Patent Procedure 37 CFR 1.52)

If a table to be included in the application specification has table text that is more than the equivalent line/character count of 50 pages of table information (as noted in patent procedure), then you will need to capture the table data in ASCII file(s) and reference the separately attached text files containing one or more large table(s) as appendix data in the application specification. The large table appendix will be printed.

Note: please keep these approximate limits of the system for electronic submission via the Internet when attaching text files.

3000 pages text	0 drawings	(9000k text)
2000 pages text	60 drawings	(6000k text, 3000k figures)
1000 pages text	120 drawings	(3000k text, 6000k figures)
100 pages text	170 drawings	(300k text, 8500k figures)

EFS allows a user to create a CD-ROM or CD-R for submission by mail or in person for submissions over 10 Megabytes. This process will require extra hardware, including a CD recorder.

APPENDIX D: USPTO EFS/EPAVE LICENSE AGREEMENT

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